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YORK
UNIVERSITY

**Brief to the
Committee
on University Affairs**

NOVEMBER 1973

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November, 1973

INTRODUCTION

In this brief to the Committee on University Affairs York University hopes to impress upon the CUA its views on a variety of important matters, within the general framework of the topics proposed for discussion by the Committee. A numbering key to match York's comments on the CUA's proposed agenda is provided in the right hand margin of the following pages. We would be remiss, however, if we did not draw special attention at the outset to two matters of the utmost importance.

First, York considers it vital that the CUA and the province provide some indication of their intentions concerning the funding of universities in Ontario. The rate of growth which characterized the Ontario system during the 1960's was not a circumstance which lent itself to the well-coordinated academic development; a somewhat more stable environment is necessary for fuller realization of the potential of our programmes. What York is seeking, therefore, is not a continuation of growth financing, but some assurance that the University will at least have a modicum of breathing space in which to make decisions which are more than reflex responses to an immediate budgeting situation. In York's view, Ontario is to be congratulated upon a set of priorities which resulted in a system of universities as well respected as they are. It is important that the province recognize maintenance of this place of respect as a continuing norm.

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We can understand and accept the desire to give relatively greater emphasis to other 'social goods', but to do so at the expense of the universities of Ontario can be nothing other than pointless and destructive.

Secondly, York has to express in the strongest terms its opposition to any kind of structural reorganization at the provincial level which would result in an assertion by non-academic bodies of control over academic decision-making. Government agencies may experience frustration in their relationships with individual and collective University decision-making bodies, but a system of higher education cannot be designed around the goal of relieving governmental frustration. We recognize, of course, that university autonomy carries with it a responsibility - indeed, an accountability - to the broader community for the wise use of resources provided us. A key element in the establishment of mechanisms to ensure both institutional freedom and public accountability would appear to be a strong independent buffer group standing between government and the universities.

ENROLMENT, UNDERGRADUATE STUDIES, STUDENT AID, PART-TIME STUDIES

Enrolment

In 1972-73 York University experienced a total enrolment markedly below that upon which our academic plans had been made. The bulk of the shortfall was concentrated in the undergraduate programmes of Faculty of Arts, Glendon College, and the Faculty of Science. Other programmes either were relatively successful in meeting planned growth targets (e.g., Fine Arts, Atkinson College) or were able to control their figures at pre-determined stable levels (e.g., Osgoode Hall Law School). Graduate programmes generally achieved their modest growth targets. But taken together, and calculating on similar bases from year to year, York's total F.T.E. enrolment showed only a small increment from 1971-72 to 1972-73.

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The financial crisis precipitated at York by the sudden change in enrolment growth had very serious negative consequences for the University. One positive consequence, however, was a new recognition that enrolment projections would have to be given much closer attention than York had given them in the past. Rather than planning ahead on the basis of how much growth per annum York could manage, the University engaged in a very serious study of how much enrolment change - be it growth or decline - could be

reasonably expected for 1973-74, given the size and character of York's market for students, the attractiveness or otherwise of York's programmes, and peculiar-to-York characteristics such as transportation problems for commuters and the obvious pull of the University of Toronto in the Metropolitan Toronto area.

Careful consideration was given to the development of new programmes and new patterns of study which might meet expressed needs in the community while cushioning the shock of enrolment decline in what had been an institution fully acclimatized to large-scale annual growth. Even with the approval of such programmes, the University concluded, after lengthy study and debate, that it could not hope for any substantial overall growth from 1972-73 to 1973-74. Projections submitted to MCU during the winter of 1972-73 called for a decline of just slightly over 2% in York's F.T.E. undergraduate enrolment in 1973-74, no change in full-time graduate, and only a very modest increase in the part-time component of our graduate enrolment.

Fortunately, York's 1973-74 total enrolment appears to be slightly ahead of the projection made to MCU last winter. On the undergraduate side, full-time enrolments have come out remarkably close to projection in all Faculties except Lakeshore Teachers' College, where a sharp drop has been

experienced. Part-time undergraduate studies have shown sufficient increase, however, that York's total undergraduate F.T.E.'s in 1973-74 will improve upon the predicted 2% decline, to end up about 1 1/2% higher than in 1972-73. Graduate part-time fall term enrolment is just slightly below projection; full-time graduate enrolment has increased by about 10.4% over 1972-73 (and over projection).

York University is well aware of the fact that the current secondary school enrolments are undergoing a slight decline, and that the CAAT's have, to date at least, proved acceptable to high school graduates as a post secondary educational option. Thus York cannot expect much, if any, growth from the traditional source of university freshmen students. It does not follow, however, that York's fortunes need necessarily rise and fall with the trends in secondary school enrolments and student attitudes. The continued increase in numbers of part-time evening and summer students at Atkinson College (including 1500 new students in 1973-74), the encouraging response to part-time daytime opportunities in the Faculties of Arts, Science, Fine Arts, and Glendon College, the enthusiasm and size of the first class of Faculty of Education students, and the initial success of the innovative Drop-In Year programme of the Faculty of Arts in 1972-73, suggest that York will be able to maintain its

current size, and sustain modest growth, if the University can continue to develop the new patterns of curricular organization which so marked York's earlier years and which are now being re-emphasized in response to fiscal adversity.

So much of York's planning, however, is dependent upon government policy (as, indeed, is the case with most other Ontario universities), that it would be futile for us to attempt to project our enrolments into the future within tolerances which could not be totally upset by such external actions as student aid plan changes, the cost-revenue squeeze produced by inadequate annual increases in the BIU value, or government-induced changes in the student fee structure. From our perspective of three years of enrolment change totalling only 4.6%, then, we can offer an expression of confidence that our enrolment will grow marginally each year over the next few years, as we make our existing programmes available to a wider student market, and as we develop more attractive programmes and combinations of programmes, within the general framework of our current range of disciplines.

Patterns of Enrolment

At time of writing of this report, we have not been able to identify fully the sources of all of our 1973-74 students; our impression is that the proportion of our

applicants and registrants who have returned after "stopping out" from York has risen slightly, although 1,4 not to the extent that some had hoped. Certainly, the applicants to York from other universities, both 'stop-outs' and straight transfers, were up significantly, although this fact may point merely to an increasing degree of inter-university student mobility. In Atkinson College, in particular, applications for admission to part-time studies from students with previous University experience (including York full-time) were up by 20%.

York has not experienced a significant shift in enrolment from liberal arts Faculties to the professional Faculties of the University. The absence of such a shift may be misleading, however, since the range of professional Faculty options at the undergraduate level is quite limited 1,2 at York. It is certainly true that programmes with a professional orientation have had little difficulty in meeting enrolment targets - in the Faculty of Arts, Physical Education and Economics have both shown up well this year; the Bachelor of Arts with Honours in Business programme in the Faculty of Administrative Studies meets its quotas easily; the Faculty of Science has experienced a shift from the physical to the life sciences, and an 8% increase above projection in the Biology, Chemistry and Physics programmes, 17% below projection in Liberal Science;

Education had many more applicants than could be accepted. The impression has generally been received, however, in the Arts Faculties of the University, that students are not so much making clear shifts to professional programmes as they are making sure that they keep their options open for later application to professional schools. Even as the range of student preferences at York becomes more clearly defined, we expect that the University can continue to maintain and develop itself as a major centre of interdisciplinary studies (even in the emphasis of our professional programmes) and that it can present itself as a clear alternative to many of the narrower professional programmes common elsewhere.

Interdisciplinary Programmes

Ever since York's establishment, its contributions to the Ontario spectrum of higher education have been characterized by a marked emphasis on interdisciplinary programmes and methods. Within the financial means available to us, we are continuing our efforts in innovative curriculum design and development. The Faculty of Arts has under consideration proposals for new concentrations in Canadian Studies, African Studies, and Religious Studies, building upon the success in that Faculty of such established programmes as East Asian Studies, Urban Studies, and Social and Political Thought. A programme of interdisciplinary courses has been designed in

the Faculty of Fine Arts around the talents of faculty drawn from the Departments of Dance, Film, Music, Theatre, and Visual Arts. The Faculty of Science, well known for its interdisciplinary emphases in undergraduate and graduate instruction, as well as in research orientation, has added a programme in Earth and Environmental Sciences. The Faculties of Arts and Fine Arts are pursuing the implementation of an inter-Faculty option in creative writing.

On the graduate level, programmes in Social and Political Thought, the enthusiastic external assessment of our proposed Interdisciplinary M.A. programme, and a whole Faculty - the Faculty of Environmental Studies - are but three examples of an orientation with which York has become identified, and which has won for this University a particular place of distinction. Our joint York-Toronto programme in Victorian Studies represents a successful venture in bringing together faculty resources not only from across disciplines but from across two different Universities.

This very interdisciplinary character has attracted to York large numbers of faculty with well-developed expertise in a range of disciplinary specialties, and particular interest in the relationships among those specialties.

Many faculty members are commonly cross-budgeted between a disciplinary Department and an interdisciplinary Division or Programme, or between two Faculties. This flexibility, intended to promote intellectual cross-fertilization among disciplines, has served us well in the more practical task of deploying faculty effectively at a time of only marginal total enrolment growth.

ADMISSION OF OUT-OF-PROVINCE STUDENTS

York University adheres to the position that students who qualify for admission to the University under the academic criteria established by the Senate Committee on Admissions shall be admitted. We do not consider citizenship, nationality, or province of origin of applicants as anything other than a key to which out-of-province admissibility criteria are to be applied. These criteria, which are similar to those in force at most Ontario Universities, are detailed in Appendix A.

York does not believe that its endeavours have been anything other than enriched by the diversity of backgrounds brought to the campus by foreign and out-of-province students. Since York draws for its enrolment overwhelmingly upon its immediate geographical area, it is important that there be some degree of mitigating cosmopolitanism in both faculty and students lest we become but a "community university",

an unfortunate course for York, and for those areas of academic endeavour in which York has marked out a legitimate national or international interest. For instance, York's Faculty of Fine Arts is unique in the Commonwealth in its multi-disciplinary approach and in its blending of academic and professional criteria for B.A. qualification. (It seems to us that such uniqueness, on a Commonwealth scale, should not go unrecognized at the provincial level.) Glendon College continues to build on its early promise as a national college manifesting the national ideals of bilingualism and biculturalism (120 of the 1973-74 Glendon students are native French-speakers - a marked increase both in that number and the portion of that number who are from Ontario French-speaking communities). York's graduate programmes see themselves, and are seen by their professions, to be national facilities drawing students from across Canada, and serving as a national resource to their professions. Obvious examples include the Faculty of Administrative Studies, the Faculty of Environmental Studies, the Osgoode Hall Law School, the Centre for Research in Experimental Space Science, and York's group in cell biology and genetics. Within the humanities and social sciences, graduate programmes such as those in Political Science, History, and Social and Political Thought are known internationally as foci for intellectual stimulation and activity. York expects, as a consequence,

that its graduate students will be drawn from a wide variety of jurisdictions. In 1972-73, 69.8% of York's full-time graduate students were Canadian, 21.7% held Landed Immigrant status, and 8.5% were classified as 'foreign'. For part-time graduate students, the proportions were 78.4% Canadian, 18.1% Landed Immigrant, and 3.5% 'foreign'.

Quality of Students

York has become increasingly concerned in recent years over what has been felt to be a decline in the academic preparation of the entering students. The Faculty of Science has found students to be inadequately disciplined in mathematics; comments from the Faculties of Arts and Fine Arts are surprisingly similar in their disappointment at inadequate training in ordinary language and compositional skills. The faculty's concern had been particularly exacerbated at York by a steady decline in both the numbers and the proportions of students entering York with first-class standing. Since 1966-67, the York's "share" of the annual cohort of Ontario Scholars had dropped from 8.1% to 1.9% in 1972-73. The vital leavening influence of a sizeable minority of outstanding students had become almost non-existent. York determined, therefore, to do what was necessary to reverse this unfortunate trend. The first step taken was

II,2

the announcement of the York Entrance Scholarship Programme, which provides full first-year tuition and fees to students entering York from Ontario Grade 13 or its equivalent with an average of 80% or better. The Programme has given a dramatic boost to the quality of the freshman students; the proportion and number of Ontario Scholars has tripled from 1972-73 to 1973-74. At the same time, the total size of the entering class has declined slightly (just meeting last winter's projection to MCU), bearing out York's contentions that the Entrance Scholarship Programme would function as a quality-improving device, and not as an extremely expensive recruitment tool. York intends to continue its Entrance Scholarship Programme in 1974-75, despite the University's operating budget deficit. The positive impact of these students on classroom discussion, faculty morale, and the general intellectual tone of the institution is cheap at the price.

IX,2

There is little doubt that recent revisions to the OSAP plan have had the gratifying effect of removing many of the anomalies which had begun to emerge in the implementation of the old award plan. There are still aspects to the programme, however, which require correction. For instance, OSAP does not offer incentive to mature students who have been in the work force. These students are expected to contribute 25% of their gross earnings from the 8-month

IX,1

period immediately prior to registration. Consequently, the award available to such a student in his first year is low. Housing and miscellaneous allowances have not kept pace with the cost of living, and maintenance allowances are too low for married students with employed spouses.

York feels bound to point out to the CUA, as we have done so many times in the past, that one-quarter of our F.T.E. undergraduate enrolment comprises part-time students, who are clearly discriminated against in the provision of student aid in this province. It seems ludicrous to us that so many documents and statements springing from governmental or quasi-governmental bodies in Ontario should stress the need for life-long learning, work-study patterns, "non-sequential learning", etc., while the province's own student-support mechanisms militate in the opposite direction. York does appreciate the recent actions taken by MCU to provide some loan assistance to part-time students, and the designation of York as one of the institutions participating in the newly announced part-time studies bursary pilot project.

The CUA has asked universities to comment on the degree of "progress made on the implementation of guidelines for part-time students". York assumes that the CUA's reference is to earlier proposals for an 'integration' model of part-time studies. York would remind the Committee that the CUA guidelines state that Atkinson College of York

VI,1,2

University already fulfils the guidelines. As noted in the section on 'Enrolment', above, Atkinson's growth has continued, while the traditional full-time studies Faculties have opened up their classes to part-time students. Internal regulations governing transferability have been changed to promote the greatest possible flexibility in movement from part-time to full-time status, and vice-versa, and from Faculty to Faculty. The 'mature student' minimum age for application without Grade 13 qualifications has been lowered to 21, a practice now followed in most Ontario universities. Nearly all undergraduate summer school teaching at York is carried on in the summer programme of Atkinson College. Staffing for this programme is organized on a basis independent of the normal autumn/winter assignment of teaching duties.

GRADUATE STUDIES

It has been most encouraging to York that our graduate programmes have continued to attract large numbers of highly qualified students, a success which runs counter to recent trends toward graduate enrolment decline or stability in many institutions. Graduate enrolment projections at York call for continued modest growth across our existing range of programmes, buttressed by enrolments associated with new Doctoral and Masters' programmes

currently undergoing assessment and appraisal.

Part-time programmes at the graduate level are well established at York, with our large part-time M.B.A. programme the major centre of such studies. An increasing number of our other graduate degrees can be pursued wholly on a part-time basis. For instance, at the Ph.D. level, English, Sociology, and Philosophy all accept part-time students. At the Master's level, Physics, Chemistry, and Geography have established part-time programmes, and this year Biology is placing greater emphasis on part-time work. English has made a serious attempt to timetable its courses in such a way that they are available to part-time students, and this year admitted 20 candidates. It may interest the CUA to learn that York will be offering in the new year a part-time Master of Laws programme through the Osgoode Hall Law School. The programme, which is an adaptation of the existing LL.M. programme goes far beyond mere professional "continuing education"; in fact, it will be a series of intensive and rigorous exercises at the graduate level aimed at leading legal practitioners, and scheduled in a way compatible with both high academic standards and the professional obligations of the participants. As our Faculty of Education develops, York will become more and more identified as a centre of academic vigour in the education of teachers. The demand for part-time programmes at both Master's and Doctoral level for practising teachers

will increase rapidly. York is planning to meet this demand; already the Graduate Programmes in History and in Chemistry have implemented part-time Masters' programmes geared specifically to the special needs of practising teachers.

ACAP Planning Assessments

III,1,2

York's attitude to the ACAP planning assessments is as mixed as those of either Ontario universities. Certainly the assessments provide a valuable opportunity for self-assessment and useful external judgments. We do feel that ACAP planning should recognize the value and logic of Master's level programmes which are the natural capping of strong undergraduate programmes. Approval of such Masters' programmes should be virtually automatic, once the appropriate academic approvals have been rendered. We are also concerned that graduate students not be prevented from pursuing particular specialties under the supervision of unusual and outstanding individual scholars. With reservations of this sort, which have been addressed to the various bodies directly concerned, York has accepted the fact of the ACAP concept, from which follows our acceptance of the "provisional embargo" as a control procedure.

FACULTY, RESEARCH

York's policies on tenure and promotions and on sabbatical leave are attached as Appendices B and C. In 1973-74, 43.3% of our total faculty hold tenured appointments, representing 50.6% of the tenured and "tenurable" complement within the total faculty. The University's policies, and our past patterns of growth, require York to make the tenure decision for a large proportion of our untenured faculty within the next two or three years. The ability of the institution to retain flexibility in the years ahead will obviously turn on the nature and quality of these decisions.

VII,1

York does not have a policy respecting "professional" income earned from extra-university sources. Most of our faculty do not, in fact, have substantial earnings beyond their York salaries. Where they do, such earnings are allied intimately with their academic achievements, (royalties on books, guest lecture honoraria, etc.) or are fees rendered in respect of services which themselves enhance the qualifications of the faculty member for his duties at York (e.g., service on a Law Reform Commission, Marketing Research Board, etc.). We do feel that outside remunerative activities, where they occur, should be related to an individual's duties at York, if he or she is to retain full-time faculty

status. We are more concerned to provide an environment in which individuals can exercise their professional skills in the University context, to the benefit of their students, than we are concerned to attempt regulation and accounting of the sources of an individual's income.

York prides itself upon the degree to which its faculty have involved themselves in the community life of Toronto. University people contributing their time to public office (paid or unpaid) are, of course, expected to give due priority to their York duties or to negotiate suitable reductions of load and salary with the University. Faculty members elected to the federal or provincial parliament (of whom York has four, at present) are required to obtain leave of absence from York for the duration of their term of office.

Research

Within its short life, York has reached levels of international distinction in several areas of research effort. The research accomplishments of the Faculties of Science and Administrative Studies, the Institute for Behavioural Research, and such graduate programmes as Psychology and Political Science are of the first rank. The York University Transport Centre has provided an

instrument for focussing attention and expertise on a problem critical to the development of Canada's economy. Through the University of Toronto - York University Joint Program in Transportation, more than sixty research projects have been supported. Many members of the York faculty sit on appraisal and advisory boards of such bodies as the National Research Council, Medical Research Council, Defence Research Board, Atomic Energy of Canada, and the Canada Council. Where there are guidelines governing research at York, these have usually been informal (e.g., Departmental Chairmen should be made aware of research activities of their faculty, and should give their approval when the disposition of Departmental services or facilities is involved) or else have been codified by the Senate Committee on Research. (See Appendix D, attached.) A proposed overhead policy is currently under discussion, and should be implemented in the very near future. The tack which York wishes to take in this matter of overheads is the one which we feel should be paramount in our development of policies governing research at York. We feel strongly that our faculty should be actively engaged in research, that such engagement should infuse their teaching responsibilities, and that spirited

inquiry beyond the ordinary transmittal of knowledge should mark the work of all faculty who lay claim to full membership in the York community. Thus we recognize that York's research efforts and policies should be better organized towards the increasing of research activity, not at the expense of instructional commitment, but to improve instruction.

OPERATING FINANCES AND ECONOMIES

York has used what is mainly an historical accretions approach to its internal budgeting. Until the budgeting exercise for 1973-74, both academic and administrative units had always been able to count on their allocations increasing from year to year, with enrolment growth contributing the largest share to yearly increases in real financial resources. Units have presented arguments for increases each year in terms of the added costs of new enrolment, development costs of new programmes, the costs of 'maturing' (e.g., growth in number of sabbatical leaves), etc. Requests for net additions to staff complements have been discussed in terms of enrolment patterns and programme development. Staffing authorizations provide the central portion of subsequent requests for specific line item budget allocations.

X,1

In budgeting for 1973-74, York had to face for the first time the fact that some units would have to be allocated budgets which represented a decrease below their 1972-73 spending levels. Four Faculties and several administrative units were affected in this manner, and managed to meet their reduction targets mainly by utilizing attrition to reduce the salaries component of their budgets.

XII,1

The uneven growth patterns amongst York's various Faculties and the degree to which salary and employment commitments to tenured and probationary faculty are locked into future budgets have resulted in a growth in net numbers of faculty at York (despite the static nature of overall enrolment), Faculty budgets were increased disproportionately to administrative, physical plant, academic support, and general institutional budgets, to the extent that in terms of 1973-74 budgets, York ranks highest in the Ontario system in both "Instruction and Research" and "Total Academic" proportionate allocations, as defined by the Committee of Finance Officers of Universities of Ontario.

This seems to York to be a not illogical response to unexpected financial strictures, given the declared purposes of the University. The confusion surrounding York's financial situation in 1972-73, the sudden shock of enrolment growth far below that predicted in 1972-73, and the diverse

effect of various policies regarding security of employment in different categories of faculty appointments, made it both impractical and undesirable for the University to contract its total faculty size back to pre-1972-73 levels. Indeed, growing Faculties, such as Education and Environmental Studies, have required additional faculty hirings to cope with the influx of new students.

Reflecting the budgetary decisions noted above, the full-time faculty total has increased by 1.5% from 1972-73 to 1973-74, salaried support staff positions declined by 9% from September, 1972 to September, 1973, and unionized complements in the Department of Physical Plant declined by 9.7% over the same period. Physical Plant service and maintenance, for example, has had to be cut back in many areas to an extent which will accelerate deterioration and have long-term detrimental effects on the physical condition and functioning of buildings, grounds, and equipment. Major repairs and/or replacements will be required earlier than would otherwise have been necessary. Obviously, the University can not continue to effect such squeezes on the non-academic side of its operations without facing the necessity to reduce or eliminate services. Such a review is, in fact, being made as we face equally hard

budgeting decisions for 1974-75. In our budgeting this year, however, appreciably more attention is being paid to faculty complements, both full-time and part-time, enrolment patterns, and the nature of Faculty-determined support services. Procedures have been introduced which require elaborate rationales for the approval by the President and Board of any new faculty position or for the replacement of faculty holding limited-term appointments.

One of the main reasons York has been able to hold its operating deficit to manageable, if onerous, levels, has been the nature of the salary increase settlements reached with employees for 1973-74. Faculty salary increases were 4 1/4% across-the-board on July 1, 1973; support staff increases amounted to 1 1/4% for all, on July 1, 1973, and 4% for each staff member on his or her anniversary date (for over 50% of the staff, July 1 is the anniversary date). Settlements at these levels, both of which fell well below the average increases in the Ontario University system and in the Metropolitan Toronto market place, as well as below actual increases in the cost of living, cannot be continued if York is to act responsibly to its students and employees. Yet without significant growth, York is dependent upon increases in the value of the BIU to meet cost increases thrust upon the University by forces outside its control. There are limits to cost-paring - salaries have to be kept competitive;

cost increases of fuel, hydro-electric power, books, and material supplies are unavoidable; security services must be provided and snowdrifts plowed; high calibre faculty have to be backed up with proper resources or their talents are wasted. Unless the CUA, and the province, are willing to support the universities to the extent, at least, of their real cost increases, annual budgeting is going to represent an annual paring-off or excising-out of academic activities and administrative services which will leave the Ontario system mired in the mediocrity we have all worked so hard to avoid.

The slip-year financing scheme has been a useful partial improvement over the old payment-for-actuals procedure. Given the problems created by York's enrolment pattern over the last two years, the few months' extra lead time provided by slip-year financing has allowed some extra time for short-term spending adjustments. The value of the scheme will continue to fall far short of its potential, however, if BIU values are not announced sufficiently far ahead to permit 2- or 3-year revenue projections - the closest horizon that reflects spending realities. The province has to declare its intentions in the area of university financing; at a very minimum, the universities need to know whether the province is going to support them to the extent of their real cost

Increases from year to year. Formulas representing actual cost increases in other sectors are available; they should be also available for universities, and used by our funding bodies. Universities and their members are not any more pleased with the effects of inflation than are their fellow-institutions and fellow-citizens; what we do not agree to is our apparent new role as shock-troops in the anti-inflationary battle.

York has been giving careful study to the proposals for revised formula financing which have been X,3 promulgated by the Joint COU/CUA Subcommittee on Finance/ Operating support, and has made responses both to the Joint Subcommittees and to COU. As noted above, any system which does not allow for "BIU increase" (old system) or "inflationary factor" (proposed new system) equal at least to real university cost increases from year-to-year is in fact a device to reduce support to universities and should be recognized and debated as such. Within the framework of both existing and proposed new formula weights, York continues to assert the view that the formula allowance for a given programme should roughly correspond to actual cost experience in that programme. The Law Deans of Ontario Universities have put their case - and York's - for formula weighting improvement for Law programmes. York would like

to take this opportunity to again remind CUA of the anomalies current in the funding for studies in the Fine Arts. The present formula properly recognizes the necessity for a double BIU weight for Music; the formula does not, but should, also recognize that York's programmes in Dance, Film, Theatre, and Visual Arts are no less rigorous or less demanding of space, equipment, and small studio classes for effective teaching and practice.

Non-Credit Programmes

York carries on some three-quarters of a million dollars worth of non-degree-credit activities annually through its Centre for Continuing Education and the Division of Executive Development of the Faculty of Administrative Studies. These are not profit-making endeavours for York; they are attempts to extend the resources of the University - both human and physical - to the surrounding community (e.g., a course in Conversational Italian for M.D.'s from the North-West Metro Area). If York were a CAAT, it would be funded under formula financing for such programmes, allowing a contribution to University overhead which would allay the current real loss on our efforts in this non-degree-credit area.

CAPITAL FINANCES

Cyclical Renewal

XI 1,2

York University wishes to urge CUA to support the release of cyclical renewal funds. Faced with a fixed amount of total space, but shifting patterns within our total student enrolment, it is vital that we be provided with the financial means to utilize best our existing facilities.

For the past year, a Sub-Committee of the Committee on Capital Financing, Council of Ontario Universities known as the Task Force on Life Costs has been studying total building life costs including Cyclical Renewal. York University, with an appointed member on the Task Force has participated in the study from the beginning along with members from other Ontario Universities, the Council of Ontario Universities and the Ministry of Colleges and Universities. The University is in agreement with the definitions of cyclical renewal components as recommended by the Task Force and concurs with the recommendation that the formula allowance should be increased immediately from 1% to an interim figure of 2.5% pending the results of further studies.

The University also agrees that the present method of basing the annual cyclical renewal allowance on a percentage

of the NASF (presently valued at \$55 per NASF) available at a given University is a simple and direct method of arriving at a meaningful and equitable figure. The total should be cumulative over the years. Each University should have control of how the funds are spent at its own institution; the only restraint being that they must be for capital expenditures - alteration, repair, replacement or improvement of physical plant furnishings or equipment and not available to meet operating costs of any kind.

Once the cyclical renewal rate has been approved the funds generated should be treated as a commitment on the part of the Provincial Government (much like the BIU allowance is regarded as a commitment) so that necessary planning can proceed effectively. This would avoid the present difficulty whereby, on the one hand, the Government has agreed to a minimum 1% Cyclical Renewal Allowance beginning in 1971/72 (Reference Minister John White's letter to President Slater dated April 21, 1971) but in practice has in fact withheld the funds from the Universities which have an inventory larger than the entitlement generated by the Capital Assistance Formula.

The threefold effect of this course of action is:

- (a) by not having funds available for cyclical renewal expenditures on alterations and improvements, the University is unable to accommodate the academic programmes which are expanding, or otherwise to make use of existing space in a more efficient manner, thereby permitting the University to implement alternatives to assist in extricating itself from its negative entitlement position. This is an untenable closed circuit which can be relieved only by the release of cyclical renewal funds.
- (b) by not releasing funds for cyclical renewal expenditures on major repairs and replacements, the considerable investment in plant and equipment is not being adequately protected nor is it possible to maintain the quality of plant recommended by leading professionals in the field. The fact that a University happens to be in an over-entitlement position does not preclude the need for on-going repairs and replacements.
- (c) by having neither a fixed amount for Cyclical Renewal nor any assurance that funds will be

released at a given time, it becomes impossible to plan effectively for future courses of action. If this state should continue it can be foreseen that serious and, in some cases, irreparable damage may be suffered by Universities being forced into quick inappropriate decisions under the guise of emergency or temporary measures to meet sudden unplanned requirements. Under these conditions it is inevitable that they will drift toward more and more inefficient and uneconomical use of space, facilities and equipment.

Funds for use in a given year should be announced by mid-March at the latest to facilitate necessary planning required to ensure most effective utilization of resources. Lengthy delays in making information available render an unnecessary hardship on the University by creating uncertainty with regard to the availability of required facilities by the opening of the Fall term.

Assuming the availability of sufficient cyclical renewal funds on a regular basis for alterations, we do not foresee any major difficulty in adjusting physical plant to changing student preferences. The relative flexibility of space design will be of particular advantage in this respect.

POLICY ON SPACE ALLOCATION

XI,3

At the outset of the University's physical planning, a space by function standard was adopted based on standards developed from an evaluation of practice in universities of high standard in Ontario and other jurisdictions. The introduction of the provincial Interim Capital Assistance Formula established new parameters substantially lower than York's and hence necessitated downward revision to achieve a balance between actual inventory and space entitlement. A plan was developed in 1970/71 to effect such an adjustment by 1973/74, albeit with misgivings arising from the conviction that the total space generated by the Formula was inadequate and the weights assigned to certain categories of students highly unsatisfactory (e.g., Fine Arts, Law, Environmental Studies, in particular). Unfortunately, the levelling of enrolment during the past two years has delayed the achievement of the desired balance. As a new university, the allocation of space was related directly to the University's building programme and within the context described above, permanent and interim users were designated space coming on stream on the following basis:

1. All space is considered as part of the University inventory, but the prime user for whom a building is designed has priority in the choice of such space, actual allocation being within the context of overall requirements and the

maintenance of comparable standards throughout the University. The remaining space is allocated to interim tenants as equitably as possible and subject to justification of requirements.

2. Assignment of space to individuals and departments should, as far as possible, be supportive of the York "College Concept".
3. Each full-time faculty member is entitled to a separate office. Part-time members of faculty and teaching assistants share office accommodation.
4. Allocation of interim space to divisions, departments and sections is made on the basis of minimizing both alteration of space designed for a permanent user and expense.

STATUS OF WOMEN

VIII,1,2

York University's record has been better than most Ontario universities in its proportion of women faculty appointees and the numbers of women holding academic-administrative positions. York has no discriminatory policies for hiring, promotion, or remuneration in any fields of employment in the University. The fact remains, however, that women are not well represented amongst senior academic administrators, non-academic administrators, or the middle 'professional and managerial' group at York, in proportion to any reasonable goal for female participation. Similarly in the academic staff, where there is sufficient participation by women to permit comparisons with male counterparts, the salaries of females are lower at all ranks, whereas the numbers of women are proportionately higher in the lower ranks.

York's Senate has established a Task Force on the Status of Women at York, which has not yet reported, but which has compiled data which bring to light the disparities noted above. The Task Force is concerned that the CUA, the province, and the Ontario universities system, as well as York University, exercise whatever authority they have to move to an orderly and speedy correction of the obvious anti-women discriminations in higher education in Ontario. In the context of the Ontario

universities' current difficult financial positions, funding formulae should recognize the universities' need for specific grants to correct salary and fringe benefit anomalies which discriminate against women.

There are no male/female distinctions legislated in the criteria for admission to York's various academic programmes. Timetables are being reworked at all levels, to open opportunities for part-time students of both sexes. We are re-examining both academic and administrative practices with a view to modifying those which have an inadvertent adverse effect on women. The University supplies space and facilities for a Cooperative Daycare Centre on campus, but a much larger operation is necessary to service properly the real needs of the York community. Provincial daycare funding programmes must be changed to provide the University with the facilities it needs to open equitable opportunities to its female members.

OTHER MATTERS RAISED BY THE CUA

1. Ontario University Application Centre

York is more than pleased with the manner in which the I,6
Centre has operated to date; it is exceeding our expecta-
tions in efficiency, consultation, cooperation, and outright
assistance.

2. Health Sciences

Before the freeze on establishment of new medical education IV,1,2
facilities in Ontario, York had expressed a readiness to
consider location of such a facility on the York Campus.
A study was undertaken by a University Committee to ascertain
what kinds of medical education needs York might best be
suited to fill. Proposals were made to the York Senate, and
approved there for further study, for development of a health
sciences programme which would concentrate heavily on non-
specialized medicine and techniques for the delivery of
health care. Although York remains prepared to continue these
studies, it has not been possible to give them a priority in
the absence of necessary outside funding and in the light of
the current freeze on new medical schools.

3. University Library Coordination

York takes the view that access of any accredited scholar XIII,3

to resources likely to enhance his scholarship should not be inhibited by artificial boundaries among countries, provinces, or universities. We believe that we have demonstrated our good faith in this regard by our willingness to act as the administrative and dispatching centre for the Ontario Universities Inter-Library Transit organization. We are willing to extend to scholars from outside York the right to draw on the resources of our Scott Library. By the same token, we believe that York faculty should, and must, receive ready access to the Libraries of the Ontario system, and particularly to the Robarts Library of the University of Toronto. York supports the efforts of the Ontario Committee of University Librarians to develop the mechanics for easy access by faculty of any Ontario university to all of the Library resources in the system. In the case of the Robarts Library, the resources and proximity of which make it of special interest to York, discussions between the Presidents of York and the University of Toronto show promise of excellent cooperative use arrangements for York faculty and graduate students.

4. Grievance Procedures

The York University Act, 1965, gives to the President of York University considerable power to regulate the activities

of students and somewhat lesser power to administer the non-academic activities of faculty. Non-academic staff are subject to regulation by the President. Within the non-academic staff, and at the clerical and secretarial levels, there has been a grievance procedure worked out between the University and the York University Staff Association governing performance and evaluation in staff positions. Similarly, there is an established policy at York governing the dismissal of tenured faculty members, which has been modified considerably in establishing regulations for the non-renewal of untenured members of faculty or their advancement to candidacy for tenure, a three-year protected period at York.

On the student side, the University has taken a very narrow interpretation of the powers of the President under section 13-2-c of The York Act; instead, York has taken the position with the C.O.P.S.E.O., and other bodies, that "in loco parentis" is an anachronistic position inappropriate to any major institution in the nineteen-seventies. In attempting to reduce vandalism, parking offences, and bookstore pilferage, York utilizes the normal law enforcement services of the police and the public courts. The result has been a decided improvement in administration-student relations, and a marked decrease in losses resulting from illegal actions.

5. Non-University Use of Facilities

XIII,1

York has worked conscientiously to extend the resources of its campus to the Toronto community. The University is keenly conscious of its role as custodian of tens of millions of dollars worth of publicly funded facilities. We have taken a very active posture in extending the use of our campuses to community groups - through gymnasias and playing field rentals, to the Centre for Continuing Education, the Division of Executive Development, our Conference Office, etc. Our major problem is not the stimulation of such activity, but the identification of the University as a resource which provides not just physical facilities, but a centre for activities which orientate themselves towards the kind of individual and collective self-improvement which the University attempts to foster. A list of campus bookings for the next few months is appended as an example of the variety of uses to which York facilities are put by community groups.

6. METANET Computer Network

XIII,2

York University has recognized, for some time, the need to "rationalize" computing services in order to provide for the ever-increasing demand for services at reasonable cost. Problems in this area have become much more pressing

over the past year since the demand for services is growing in spite of stabilized enrolments.

We have taken steps to resolve this problem as best we can within the present framework of university organization. York University and Ryerson Polytechnical Institute have formed a Joint Computing Centre to provide services to both institutions on one machine. This will be done within the operating budgets of our institutions. We have not sought additional financial assistance to cover added expenses due to computer communications and administrative overhead. As a result, machine resources will be heavily utilized and the net savings will not initially be as great as we had hoped in order to offset the possible lack of flexibility that may result from not having independent computing centres.

We are convinced that sharing of computing resources is necessary and we will be seeking further economies and expansion of services by accepting other interested participants in this venture and by acquiring specialized services from other Centres. We will, therefore, be looking for further possibilities of computer sharing involving communications and we see developments such as METANET as being vitally important in the future provision of computing services at York.

It is our understanding that the COU Task Force on Institutional Arrangements in Computing will examine alternative arrangements for the distribution of computing resources via communications links and will recommend on whether or not METANET or an alternative approach should be pursued by the Ontario Universities as a group. We are anxious to participate in this study and to share the experiences we will be gaining in our present undertaking.

CONCLUSION

Between 1966-67 and 1971-72, York University's F.T.E. student enrolment tripled, with an average year-to-year growth rate of 34%. To build at such a rate in terms of real academic strength, not just numbers of students, York required the form of decentralized organization conducive to swift and effective action in such aspects of University development as faculty recruiting, physical plant expansion, and academic programme design. York had such an organization, and profited from its capacity for action in collecting together an impressive array of faculty members in Faculties well-known across the nation and continent for their success in building particular discipline expertise into the fruitful interdisciplinary relationships on which York's reputation has been established.

The abrupt decline in enrolment growth which York suffered in 1972-73, forced a serious strain within the University, just as enrolment problems across the province produced concerted re-examination of policies respecting post-secondary education. York has striven to re-orientate itself from the demands of high growth to the no less demanding, but often quite different, requirements of effective decision-making in the near-steady state. Salary increases for 1973-74 were held down to below actual

cost-of-living levels to assist in the transition. Many major divisions of the University were moved to 1973-74 operating levels below those of 1972-73.

Continued care over the next few years should see York through its financial difficulties, if the province is willing to support Ontario universities in a manner which will allow sensible planning and the continued provision of high quality programmes. Ontario's universities represent one of the major resources of the province; to pare down their support by a series of inadequate BIU increases can only result in the mediocritization of much that has displayed or promised excellence.

YORK UNIVERSITY

BRIEF TO THE COMMITTEE ON UNIVERSITY AFFAIRS

NOVEMBER 1973

STATISTICAL TABLES

LONG TERM ENROLMENT DATA 1971-1972 TO 1978-1979 (1)

	1971/72 Actual	1972/73 Actual	1973/74 Estimated	1974/75 Projected	1975/76 Projected	1976/77 Projected	1977/78 Projected	1978/79 Projected
a. Full-Time "Freshman Intake" (i.e. 1st Year Undergraduate Degree)	3,577	3,215	3,232	3,260	3,340	3,440	3,620	3,800
b. Total Full-Time Undergraduate (including diploma and other non-degree and make-up or qualifying year)	10,244	10,427	10,022	10,130	10,280	10,750	11,150	11,700
c. Total Graduate (Fall-Term)	849	902	996	1,000	1,140	1,230	1,300	1,340
d. Total Full-Time Enrolment (b) plus (c)	11,093	11,329	11,018	11,130	11,420	11,980	12,450	13,040
e. FTE of Part-Time Enrolment using appropriate Formula Conversion Factors (2) (excluding "Summer School" Graduate Students)	3,422	3,605	4,171	4,185	4,235	4,335	4,485	4,685
f. FTE Enrolment (d plus e)	14,515	14,934	15,189	15,315	15,655	16,315	16,935	17,725

(1) This report is completed in a manner consistent with the enrolment categorization scheme and definitions reflected on the regular MCU Enrolment Report (UAR Forms). Data in row a are registrations in the first University year subsequent to Grade 13 into undergraduate degree Programs only.

(2) The portions of these data which are FTE of Part-Time Undergraduate enrolments were calculated on the basis of a conversion factor of 1:5.0 thus making 1971/72 and 1972/73 actual data comparable with the estimates for 1973/74 and subsequent years.

UNDERGRADUATE ENROLMENT DATA

DEGREES AWARDED BY LEVEL

	1971-1972 ACTUAL	1972-1973 ACTUAL	1973-1974 ESTIMATED	1974-1975 PROJECTED	1975-1976 PROJECTED	1976-1977 PROJECTED	1977-1978 PROJECTED	1978-1979 PROJECTED
<u>GENERAL DEGREE</u>								
<u>B.A.</u>	1,401	1,510	1,600	1,650	1,665	1,680	1,700	1,750
<u>B.Sc.</u>	111	131	116	120	120	130	130	130
<u>HONOURS DEGREE</u>								
<u>B.A.</u>	700	747	800	805	825	835	840	850
<u>B.Sc.</u>	46	58	66	60	60	70	70	70
<u>B.A. (ADMIN.)</u>	4	7	16	26	41	43	47	51
<u>B.S.W.</u>	-	-	6	12	15	16	19	22
<u>FIRST PROFESSIONAL DEGREE</u>								
<u>LL.B.</u>	245	266	270	260	260	260	260	260
<u>TOTAL DEGREES</u>	2,507	2,719	2,874	2,933	2,986	3,034	3,066	3,133

GRADUATE ENROLMENT DATA

GRADUATE DIPLOMAS AND DEGREES AWARDED / TO BE AWARDED BY DISCIPLINE AREA

	1971/72 Actual	1972/73 Actual	1973/74 Estimated	1974/75 Projected	1975/76 Projected	1976/77 Projected	1977/78 Projected	1978/79 Projected
<u>AGGREGATE FIGURES</u>								
Master's	395	426	414	442	477	552	606	658
Doctoral	22	36	65	69	75	90	97	98
Certificates (1)	4	2	2	1	3	3	3	3
Total	421	464	481	514	555	645	706	759
<u>FIGURES BY DISCIPLINE AREA</u>								
<u>EDUCATION</u>								
Master's	-	-	-	-	4	47	75	111
Doctoral	-	-	-	-	-	-	-	-
Total	-	-	-	-	4	47	75	111
<u>FINE AND APPLIED ARTS</u>								
Master's	-	-	-	-	-	10	21	30
Doctoral	-	-	-	-	-	-	-	-
Total	-	-	-	-	-	10	21	30
<u>HUMANITIES AND RELATED</u>								
Master's	47	38	40	44	46	48	49	49
Doctoral	1	3	26	26	25	25	25	26
Total	48	41	66	70	71	73	74	75
<u>SOCIAL SCIENCES AND RELATED</u>								
Master's	313	353	341	365	391	407	416	421
Doctoral	12	18	28	31	37	48	54	54
Certificates (1)	4	2	2	3	3	3	3	3
Total	329	373	371	399	431	458	473	478
<u>AGRICULTURAL AND BIOLOGICAL SCIENCES</u>								
Master's	9	9	10	10	11	11	11	11
Doctoral	-	-	2	2	3	4	4	4
Total	9	9	12	12	14	15	15	15
<u>ENGINEERING AND APPLIED SCIENCES</u>								
Master's	-	-	-	-	-	-	-	-
Doctoral	-	-	-	-	-	-	-	-
Total	-	-	-	-	-	-	-	-
<u>HEALTH PROFESSIONS AND OCCUPATIONS</u>								
Master's	-	-	-	-	-	-	-	-
Doctoral	-	-	-	-	-	-	-	-
Total	-	-	-	-	-	-	-	-
<u>MATHEMATICS AND THE PHYSICAL SCIENCES</u>								
Master's	26	26	23	21	22	24	26	26
Doctoral	9	15	9	10	10	13	14	14
Total	35	41	32	31	32	37	40	40
<u>OTHER (2)</u>								
Master's	-	-	-	2	3	5	8	10
Doctoral	-	-	-	-	-	-	-	-
Total	-	-	-	2	3	5	8	10

(1) Certificate of Studies in Canada Law
(2) Interdisciplinary Studies

GRADUATE ENROLMENT DATA

DISTRIBUTION OF NEW REGISTERED GRADUATE STUDENTS (FULL-TIME AND PART-TIME)

BY DISCIPLINE AREA (1)

	1970/71 ACTUAL	1971/72 ACTUAL	1972/73 ACTUAL	1973/74 ESTIMATED
<u>AGGREGATE FIGURES</u>				
Full-Time	445	395	421	468
- Master's (2)	71	42	104	93
- Doctoral	1	4	1	2
- Certificates (3)	517	441	526	563
- Total				
Part-Time	279	257	260	312
- Master's (2)	4	1	13	16
- Doctoral	-	-	-	-
- Certificates (3)	283	258	273	328
- Total				
<u>FIGURES BY DISCIPLINE AREA</u>				
<u>EDUCATION</u>				
Full-Time	-	-	-	-
- Master's	-	-	-	-
- Doctoral	-	-	-	-
- Total	-	-	-	-
Part-Time	-	-	-	-
- Master's	-	-	-	-
- Doctoral	-	-	-	-
- Total	-	-	-	-
<u>FINE AND APPLIED ARTS</u>				
Full-Time	-	-	-	-
- Master's	-	-	-	-
- Doctoral	-	-	-	-
- Total	-	-	-	-
Part-Time	-	-	-	-
- Master's	-	-	-	-
- Doctoral	-	-	-	-
- Total	-	-	-	-
<u>HUMANITIES AND RELATED</u>				
Full-Time	64	40	54	54
- Master's	26	21	28	29
- Doctoral	90	61	82	83
- Total				
Part-Time	5	3	14	28
- Master's	2	1	8	7
- Doctoral	7	4	22	35
- Total				
<u>SOCIAL SCIENCES AND RELATED</u>				
Full-Time	337	318	337	374
- Master's	43	15	55	59
- Doctoral	1	4	1	2
- Certificates (3)	381	337	393	435
- Total				
Part-Time	270	232	227	264
- Master's	1	-	5	7
- Doctoral	-	-	-	-
- Certificates (3)	271	232	232	271
- Total				
<u>AGRICULTURAL AND BIOLOGICAL SCIENCES</u>				
Full-Time	21	8	6	16
- Master's	2	-	7	-
- Doctoral	23	8	13	16
- Total				
Part-Time	-	-	-	4
- Master's	1	-	-	-
- Doctoral	1	-	-	4
- Total				
<u>ENGINEERING AND APPLIED SCIENCES</u>				
Full-Time	-	-	-	-
- Master's	-	-	-	-
- Doctoral	-	-	-	-
- Total	-	-	-	-
Part-Time	-	-	-	-
- Master's	-	-	-	-
- Doctoral	-	-	-	-
- Total	-	-	-	-

GRADUATE ENROLMENT DATA

DISTRIBUTION OF NEW REGISTERED GRADUATE STUDENTS (FULL-TIME AND PART-TIME)

BY DISCIPLINE AREA (1)

		1970/71 ACTUAL	1971/72 ACTUAL	1972/73 ACTUAL	1973/74 ESTIMATED
<u>HEALTH PROFESSIONS AND OCCUPATIONS</u>					
Full-Time	- Master's	-	-	-	-
	- Doctoral	-	-	-	-
	- Total	-	-	-	-
Part-Time	- Master's	-	-	-	-
	- Doctoral	-	-	-	-
	- Total	-	-	-	-
<u>MATHEMATICS AND THE PHYSICAL SCIENCES</u>					
Full-Time	- Master's	23	29	24	24
	- Doctoral	-	6	14	5
	- Total	23	35	38	29
Part-Time	- Master's	4	22	19	16
	- Doctoral	-	-	-	2
	- Total	4	22	19	18

- (1) This data conforms with the following FORM CUA-73-D Instructions: "A new graduate student is defined to be a graduate student who is new to a particular graduate program in the institution. This includes students new to the institution and new to graduate studies in the institution. The number of such new students should be determined for each term and then added up over the three terms to give the number of new graduate students in a given year. The terms should be considered in the order fall, winter, spring so that, for example, the 1970-71 year consists of Fall 1970, Winter 1971, Spring 1971."
- (2) Master's data (both in the aggregate and in discipline areas) include qualifying year master's degree students and first stage doctoral degree students.
- (3) Certificate of Studies in Canada Law.

APPENDIX D

YORK UNIVERSITY

P O L I C I E S

O F T H E

SENATE COMMITTEE ON RESEARCH

Committee Terms of Reference

Sources of Research Funds

Publishability of Research

Organized Research Units

Affiliated Institutes

Research Using Human Subjects

Grants from the President's NRC Fund

Office of the Secretary
of the University,
September 1, 1972.

P O L I C I E S

OF THE

SENATE COMMITTEE ON RESEARCH

<u>TITLE</u>	<u>PAGE</u>
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2. Sources of Research Funds.....	3
3. Publishability of Research.....	4
4. Criteria and Procedures for the Establishment and Periodic Review of Organized Research Units.....	5
5. Guidelines for the Establishment of Affiliated Institutes.....	12
6. Statement on Research Involving the Use of Human Subjects.....	15
7. Disbursements from the President's N.R.C. Fund.....	17

1.

TERMS OF REFERENCE
OF THE
SENATE COMMITTEE ON RESEARCH

The general terms of reference of the Senate Committee on Research were established by Senate in January, 1968, as follows:

"This Committee will set research policy for the University and be responsible for allocation of research grants provided from University funds. The policies and rule of operation of the University research office will be set, reviewed, and revised by this Committee".

In addition, Senate has agreed:

1. That the Committee "shall become Senate's voice in the approval and review of organized research units (Centres, Institutes)". The detailed responsibilities of the Committee in this respect are laid down in Senate's legislation "Criteria and Procedures for the Establishment and Periodic Review of Organized Research Units" (passed November 25, 1971).
2. That the Committee shall act as a final court of appeal in cases of appeal by principal investigators against decisions taken by a University Committee reviewing proposals for research involving human subjects, (passed April 24, 1969).
3. That the Committee "shall receive notice of all institutional grants, and have the power to review them and make recommendations to Senate as to their acceptability" (passed April 27, 1972).
4. That the Committee shall make recommendations to Senate as to the acceptability of research grants for projects referred to it by a researcher's Department or any Faculty (passed April 27, 1972).

The Committee acts within these terms of reference in its on-going work. Research policies respecting publishability of research, research involving human subjects, and sources of research funds have been framed and proposed to Senate. The Committee has been responsible, at the request of the President, for

- (a) advising the President as to the allocation to Faculties of the University's Minor Research Fund.
- (b) disbursement of 80% of the President's NRC Fund.
- (c) disbursement of small ad hoc support grants (President's account 14/701/90).

The Committee has advised the President on matters of research administration, and has responded to requests for guidance on policy matters from the University's Research Office.

The Committee has acted on behalf of Senate in responding to requests for statements on the place of university research, sections for the Brief to CUA, responses to the Draft Report of the Wright Commission, etc.

The Committee currently operates active Subcommittees on:

- (a) Ethics
- (b) Organized Research Units
- (c) President's NRC Fund
- (d) Distribution of Internal Research Funds.

A York Committee on the use of animals in research has affiliated itself to the Research Committee as a Subcommittee.

SOURCES OF RESEARCH FUNDS

On April 27, 1972, the Senate approved the following policy statement respecting York University's sources of research funds:

1. That research is an integral function of a university community. It is the responsibility of a university to maintain a favourable environment for research by its members, and to ensure that all research is consistent with the goals of the university.
2. That freedom of the researchers to publish any of the results of their research should be the major ethical criterion upon which decisions of acceptability of University or individual faculty research projects are based.
3. That a distinction should be made in research funding between institutional grants (those made to Organized Research Units, Faculties, or the University) and those funds which are supplied to support individual faculty members' research.
4. That the Senate Committee on Research shall receive notice of all institutional grants, and have the power to review them and make recommendations to Senate as to their acceptability. The Senate Committee shall take appropriate expert advice if necessary.
5. That the acceptability of grants to individuals is normally a matter for the conscience of the individual researcher. Where serious doubts are raised by a researcher's Department or any Faculty about a particular research project's consistency with the goals of the University, the project shall be referred to the Senate Committee on Research for a recommendation to Senate on its acceptability.
6. That decisions as to the acceptability of fund sources and research projects should be based upon the merits and acceptability of the projects at the time when they are considered. The Senate Committee on Research will report annually on the patterns and trends of all types of research funds, and review their implications for the University.
7. All information about sources of research funds for particular projects and conditions of award of grants shall be in the public domain.

PUBLISHABILITY OF RESEARCH

The following policy statement was approved by Senate on June 24, 1971:

- (a) That neither sponsors nor universities attempt to enter into agreements which will formally involve universities in conducting academic work which can not be published. Any exception to this principle should be subject to the most formal review procedures between the university and the agency concerned.
- (b) That the sponsors be entitled to request, before the research is undertaken, and be granted a reasonable delay in publication where such delay is in the interest of the sponsor and not inimical to the interests of the community at large.
- (c) That in instances where university researchers are to be given access to confidential data, the terms and conditions of their use be specified in advance.

CRITERIA AND PROCEDURES FOR THE ESTABLISHMENT
AND PERIODIC REVIEW OF
ORGANIZED RESEARCH UNITS

-approved by Senate November 25, 1971

I. Organized Research Units

Since organized research units are identified publicly with the University, and so can affect the general reputation of the institution a policy statement for their establishment and review is clearly desirable. The purpose of this document is to suggest criteria for the establishment and procedures for the periodic review of ORU's.

While the establishment and periodic review of recognized research centres and institutes is a matter of direct concern to the Senate, great flexibility should be preserved in regard to administrative arrangements for the normal operation of such units. The precise relationship between a particular research unit and the Faculty and administrative structure of the University will vary from case to case. Accordingly, there will also be different patterns of accountability in the normal activities of an ORU. The present document is not concerned with specific policies that might govern the day-to-day operations of a particular centre but only with the ultimate value of the research unit for the University as a whole.

Faculty members will frequently engage in various types of collaborative research, and their collaboration may be recognized at the Departmental, Faculty or University level. Recognition at the University level will usually involve the formal establishment of an Organized Research Unit. In addition to a variety of other functions such units will generally exhibit the following characteristics:

- (i) Some core support in the form of facilities, time, etc. is received from the University.
- (ii) The establishment of the ORU is confirmed by the Senate.
- (iii) The head of the unit is appointed by the Board of Governors.
- (iv) The unit communicates its existence as a part of the University in the form of letterheads, brochures, etc.

- (v) The unit is expected to have some degree of permanence, transcending collaboration on a particular, limited project.

ESTABLISHMENT OF AN ORU

II. Criteria for Assessing the Merit of a Proposed ORU

1. Expectation of future scholarly productivity.
2. Projected involvement of students and the extent to which the ORU will foster graduate and/or undergraduate education.
3. Extent to which the ORU will assist in bringing together scholars from different disciplines.
4. Prospects for the continuation of the activities of the ORU on a long term basis independent of the continued presence of the founding members on the faculty.
5. Nature and prospects for extramural funding.
6. Expected service to the University and the community.
7. Projected distribution of academic and non-academic personnel so as to ensure a sufficient involvement of faculty members.
8. Prospects for a contribution to University resources and facilities.
9. Existence of a demonstrated need for the kind of contribution the ORU is likely to make both on a national and an international level.
10. Evidence that the purpose of the proposed ORU cannot be achieved within existing University programmes and structures.
11. Adequacy of proposed administrative relationships between the ORU and the rest of the University.
12. Availability of appropriate personnel for carrying out the specialized tasks of the ORU.

III. Mechanism for the Establishment of a Proposed ORU

A group of faculty members seeking to establish a new ORU would prepare a detailed proposal (for contents see Appendix B) to be forwarded to the Senate Committee on Research, which would determine whether or not the proposal merited further review by an Ad Hoc Review Committee. In favourable cases the Senate Committee on Research would,

7.

with the University Research Officer, appoint an Ad Hoc Review Committee of three to five persons, at least one of whom would be from outside the University and would have expert knowledge in fields relevant to the proposal. After appropriate consultation with interested members of the University, the Ad Hoc Review Committee would submit a confidential written report to the Senate Committee on Research, which would then forward a summary report and recommendation to the Senate for action. In favourable cases the Senate will recommend to the President the establishment of the ORU and the appointment of its director.

IV. Report of Ad Hoc Review Committee

This confidential report to the Senate Committee on Research should contain specifically the following:

1. Extent to which the proposed ORU meets the criteria outlined in section II, above.
2. A recommendation concerning the desirability of establishing such an ORU at York University.
3. Recommendation concerning the suitability of the proposed Director or acting Director.
4. Recommendation regarding the time of first review of the activities of the ORU which in no case can exceed five years.

REVIEW OF EXISTING ORU's

V. Criteria for Assessing the Merit of ORU

1. Scholarly productivity.
2. Number of students involved, and the extent to which the ORU fosters graduate and/or undergraduate education.
3. Extent to which the ORU has succeeded in bringing together scholars from different disciplines.
4. Effectiveness of co-operation among the members of the ORU.
5. The degree to which continuing success of the ORU's programme is independent from the particular contributions of the incumbent Director.
6. Nature and amount of extra-mural funding.
7. Service to the University and the community.

8. Proportion of total personnel of ORU in regular academic ranks.
9. Proportion of principal investigators in regular academic ranks.

VI. Mechanism for the Periodic Review of ORU's

It is proposed that all existing ORU's should be reviewed by the Senate as soon as possible, and every five years thereafter. For each review, the Senate Committee on Research in consultation with the ORU, would appoint an Ad Hoc Review Committee of 3 to 5 persons, at least one of whom would be from outside the University and who would have expert knowledge in the fields encompassed by the ORU in question. The Review Committee would submit a confidential written report to the Senate Committee on Research, which would then forward a summary report and recommendation to the President and Senate in support of continuation, or discontinuation, of the ORU.

VII. Report of the Ad Hoc Review Committee

This confidential report to the Senate Committee on Research should contain specifically the following information:

1. Degree to which the purpose of the ORU is being fulfilled.
2. Recommendation concerning the continuation of the Director.
3. Recommendation concerning the continuation of the ORU as a whole.

A P P E N D I X A

ORGANIZED RESEARCH UNITS IN YORK UNIVERSITY

1. Centre for Research in Experimental
Space Science (CRESS)
2. Centre for Research in Environmental
Quality (CREQ)
3. York Transport Centre
4. Institute for Behavioural Research (IBR)

A P P E N D I X B

SUGGESTED CONTENTS OF PROPOSAL FOR AN ORU

1. Name of the ORU.
2. Purpose and brief outline of programme plans with an indication of how they are likely to meet the criteria stated under II, above.
3. Names and positions of all founding members, including the proposed Director or acting Director (with their CV's appended to the proposal), with the proposed nature and extent of their participation in the ORU.
4. Conditions of eligibility and procedure for appointment of new members to the ORU.
5. Projected number and categories of students who will participate in the work of the ORU.
6. Technical and support staff requirements.
7. Core support and space requirements for the first five year period.
8. Projected utilization of University facilities and services including library and computing needs.
9. Nature and extent of interest expressed by outside funding agencies.
10. Nature of capital equipment, and other facilities already possessed by the founding members and which would be made available to the ORU.
11. An outline of areas of overlap with existing ORU's, departments, and faculties.
12. A list of similar ORU's at other institutions.

A P P E N D I X C

SUGGESTED CONTENTS OF DIRECTOR'S STATEMENT

At the outset of each review for the continuation of an ORU, the ORU's Director would make available to the President, the Senate Committee on Research and the Members of the Ad Hoc Review Committee a Statement providing the following information:

1. **Purpose** and brief outline of programme plans for the next five year period of the ORU.
2. Names and positions of all professional personnel (with their CV's appended at the end of the statement), with the nature and extent of their participation in the ORU.
3. Numbers and types of students receiving support from the ORU.
4. Numbers and types of technical support staff.
5. Amount of core support obtained from the University (including any space specifically assigned to the ORU).
6. Names of outside funding agencies and amounts of research operating funds.
7. Capital equipment and materials currently possessed by the ORU approximately evaluated as to worth.
8. Publication record.
9. Titles of graduate theses completed under the auspices of the ORU.
10. The Director's recommendation regarding continuation of the ORU.
11. Other points of special information.

GUIDELINES FOR THE ESTABLISHMENT OF
AFFILIATED INSTITUTES

As approved by Senate, March 23, 1972 and April 27, 1972:

- (1) The relationship between the University and the affiliated institute must be based on a legal contract which defines reciprocal rights and obligations.
- (2) This contract must include provisions for review procedures which will enable the University to evaluate its relationship with the institute periodically.
- (3) No affiliated institute shall be established without the explicit approval of Senate. Substantive changes in the relationship between the University and the affiliated institute shall also require the approval of Senate.
- (4) The work of the institute must make a contribution to the academic programme of the University.
- (5) The University must have representation on the governing body of the institute.
- (6) The University must reserve for itself the right to be effectively consulted in regard to the following matters:
 - (a) the name of the institute
 - (b) the appointment of the director
 - (c) arrangements regarding the involvement of institute staff in the supervision of York students.
- (7) The aims and practices of the affiliated institute and its relationship to the University must be consistent with the ethical policies of the University.

A STATEMENT ON RESEARCH
INVOLVING THE USE OF HUMAN SUBJECTS
- Approved by Senate, April 24, 1969

PREAMBLE

In light of growing concern for procedures in scientific research which requires the participation of humans as subjects or respondents, York University has formulated a brief series of guidelines for the conduct of research. These guidelines serve as a joint protection for the researcher, the subject and the University in order to ensure attention to various rights and responsibilities of the respective parties to the research endeavour.

It is neither assumed nor intended that the following documents will impede the conduct of research. Rather, they serve as an official record of the research which will be consulted only in the event of question about the research or in a periodic review by authorized university personnel. Information provided by the researcher in these documents is confidential and will be retained in the files of the Research Officer.

Information pertinent to a given project will not be released without the knowledge and consent of the individual researcher.

Documentation on the research procedure is required for every project requesting funding from outside persons or agencies which requires an authorization by an officer of York University. The procedures for this documentation follow below.

PRINCIPLES OF CONDUCT

The consent of subjects should be secured in such a way that the maximum amount of information concerning the research procedure be made known before the consent is obtained. If consent is obtained in loco parentis, the authorizing agent(s) should be fully informed about the procedures and any possible effects anticipated as a result of the research procedure.

Every effort will be made to avoid psychological or physical harm or discomfort or any invasion of privacy resulting from any part of the research.

All data, protocols, and other research materials shall be kept confidential. Participating subjects will remain anonymous in any publications resulting from these materials.

GUIDELINES FOR IMPLEMENTATION BY THE RESEARCHERS

1. If full explanation about the nature of the research cannot be given in advance to the subject himself, reservation of such information must be warranted because
 - a. the research procedure requires ignorance of certain items of information, and
 - b. alternative research strategies which give the subject more information will not yield valid findings in this domain, and
 - c. the scientific merit of this research procedure is sufficient to justify incomplete disclosure.
2. In the event of any anticipated physical or psychological harm, the researcher is required to obtain a waiver of responsibility signed by the subject (or guardian) prior to his participation in the research endeavour.
3. All data, protocols, and other research materials shall be kept confidential. Names and other information pertinent to personal identification of the subjects shall be removed in the event of publication or transmission of information to any person or agency, unless prior consent to their use has been obtained in writing.

Research materials shall be made available only to authorized personnel associated with the research project.

OUTLINE OF PROCEDURES FOR APPROVAL
OF RESEARCH PROPOSALS INVOLVING THE
USE OF HUMAN SUBJECTS

It will be necessary for the principal investigator to give assurance that the proposed research does not infringe any of the general principles that are to apply to the use of human subjects in research. No research proposal involving the use of human subjects should be approved by a representative of the University until he has satisfied himself that the investigator will be bound by the general principles adopted by Senate.

- A. In order to make this possible, where applications to external granting agencies require the signature of a University representative the following procedure is envisaged:
- (i) Research proposals would have to be submitted for signature by the University representative at least 15 days before the deadline set by the external granting agency.
 - (ii) A request for University approval would have to be accompanied by the applicant's written agreement to abide by the general principles adopted by Senate and by his replies to a brief questionnaire concerned with the category of subjects to be studied and with the proposed research procedures.
 - (iii) During the 15-day period between the internal and external deadlines the proposal would be reviewed by one of three committees set up for the purpose. The signature of the University representative would be contingent upon a positive recommendation by a majority of the members of the review committee considering the application. If necessary, the review committee may request the applicant to supply further information.
 - (iv) The three review committees would be set up by the Academic Vice-President and would probably consist of three members each. They would be concerned with three different types of populations: (a) York students; (b) institutionalized populations like school children; (c) members of the general public. Any given research proposal would be reviewed by the committee competent

for its particular type of population.

- (v) Adequate records of the documents mentioned under (ii) above would have to be kept by the University. Principal investigators are required to notify the University of any major procedural changes.
 - (vi) Departmental chairmen and Directors of Graduate Programmes should develop their own procedures for ensuring that student research on human subjects conforms to the general principles adopted by Senate.
- B. Awards of internal University funds for research involving human subjects shall be contingent upon the approval of the research procedures by the appropriate review committee.
 - C. Chairmen of Departments and Deans shall take appropriate measures to make certain that University facilities, personnel and students are not involved in any research whose ethical propriety is doubtful.
 - D. Complaints about the ethical propriety of ongoing research will be considered by the appropriate University review committee. At its discretion, the review committee may ask the principal investigator to furnish additional information. Should the Committee conclude that an infringement of the code of principles governing research on human subjects has occurred, University support for the project would be withdrawn. The principal investigator has the right to appeal against such a decision to the Senate Committee on Research, whose decision shall be final.

DISBURSEMENTS FROM THE PRESIDENT'S N.R.C. FUND

BACKGROUND

The National Research Council provides a general research grant annually to the executive head of each Canadian university at which an appreciable amount of research supported by Council operating grants is being carried on. These grants are not applied for but rather are made on the initiative of the Council.

The amount of each grant is based on a formula applicable to the total of the Council's operating grants to the University in the previous year. These are outright grants which may be used at the discretion of the grantee for any purpose which he sees fit for the encouragement of scientific research.

President Slater has agreed that the Senate Committee on Research be responsible for the disbursement of 80% of the funds granted him by the N.R.C. The Senate Committee has established criteria and procedures to govern its work in reviewing applications for support from the President's Fund.

RESEARCH ACTIVITIES ELIGIBLE FOR SUPPORT

Grants will be made from the fund for research oriented activities in fields that are normally supported by the National Research Council. NRC's list of such fields comprehends: astronomy, biology, and agriculture, chemistry, dental research, engineering, geology, geophysics, mathematics, metallurgy, meteorology, oceanography, physics, and experimental psychology.

It is essential for all applicants to give evidence that they have made every effort to obtain funding for their project from alternative sources or that no alternative sources of funds exist. The President's NRC Fund is not intended to replace existing minor research funds available through the various Faculties. The average value of grants made under this programme in 1971-72 was \$954.

Normally the Committee will consider applications for funds to support the following kinds of activities:

- (1) Scientific conferences or symposia held at York University;
- (2) Limited emergency support of research projects of faculty members or their students (applications from graduate students should be approved by their supervisors, who should also provide relevant data on concurrent related grant applications made by themselves);
- (3) Research Fellowships, especially the support of sabbatical visitors to York;

-
- (4) Seed money for the initiation of programmes for which outside grant applications are being submitted;
 - (5) Subscriptions to research consortia;
 - (6) Support of research libraries for centres or programmes;
 - (7) Conference travel grants for faculty members or graduate students.

GENERAL PROCEDURES AND DEADLINES

In making disbursements from the President's N.R.C. Fund, the Senate Committee on Research will act upon the advice of its N.R.C. Fund subcommittee. Commencing with the 1972-73 academic year,

APPLICATIONS FOR FUNDS MUST BE SENT BY FACULTY

MEMBERS TO THE SECRETARY OF THE UNIVERSITY PRIOR

TO NOVEMBER 15th.

Applications received late in the academic year will be considered so long as funds remain available. The N.R.C. Fund Subcommittee will appraise each request on the basis of the intrinsic merit of the proposal and make its recommendations for approval to the next meeting of the full Committee.

Applicants are asked to use the standard form attached, copies of which are available from the Secretary of the University, Room S945, Ross Bldg.

Y O R K U N I V E R S I T YSENATE COMMITTEE ON RESEARCHPRESIDENT'S NRC FUNDA P P L I C A T I O N F O R G R A N T

The Senate Committee on Research will consider applications submitted by November 15, 1972 for small grants from the President's NRC Fund. Grants will be made from the fund for research oriented activities in fields that are normally supported by the National Research Council, and include:

- (1) Scientific conferences or symposia held at York University.
- (2) Limited emergency support of research projects of faculty members or their students (applications from graduate students should be approved by their supervisors, who should also provide relevant data on concurrent related grant applications made by themselves.
- (3) Research Fellowships, including the partial support of sabbatical visitors to York.
- (4) Seed money for the initiation of programmes for which outside grant applications are being submitted.
- (5) Subscriptions to research consortia.
- (6) Partial support of research libraries for centres or programmes.
- (7) Conference travel grants for faculty members or graduate students.

I. NAME OF APPLICANT (Print) _____

TITLE _____

II. RESEARCH PROJECT: Total appropriation requested \$ _____

1. Short Title: _____

2. Concurrent Applications: Has an application been submitted to or a grant been received from any other organization in aid of this or a related project? Please indicate titles of research projects and amounts requested or received from other external or York University sources.
- _____
- _____
- _____

3. Other Current Research Grants: List here all current grants held for projects other than the one being applied for.

4. Brief Description of Project: _____

4. BUDGET: Please give a detailed breakdown and justification of expenditures.

Signature of Applicant(s)

PLEASE RETURN FORM TO:

Secretary of the University,
Room S945,
Ross Building.

DEADLINE IS NOVEMBER 15, 1972



APPENDIX B¹

YORK UNIVERSITY

R E P O R T

OF THE

SENATE COMMITTEE ON TENURE AND PROMOTIONS

AS APPROVED BY SENATE

DECEMBER 10, 1971

and incorporating amendments
approved by Senate June 22, 1972.

W. E. T. Creery

S. Eisen

G. H. McKechnie

J. M. Moore

R. W. Nicholls

W. I. Thompson

C. M. Lanphier (Chairman)

R E P O R T
of the
SENATE COMMITTEE ON TENURE AND PROMOTIONS

December, 1971

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P R E A M B L E

The modern university is a paradoxical institution, for it is part of society, but belongs to civilization. The University is ideally valued as a place where the best that men have thought and done is kept alive, but it is often valued for its power to create thousands of skilled professionals and technicians, to generate new forms of industry, to stimulate the Gross National Product, and to raise the standard of living. Nothing is more likely to reveal this paradoxical nature of the university than the principle of tenure itself. Laymen often regard tenure as a device that enables professors not to be held responsible for their expressions, and faculty members often regard tenure as job security for competent workers. Although these accidental attributes may have attached themselves through the years to the principle of tenure, they have nothing to do with its essential nature.

If the university's role were not paradoxical, tenure would not be needed. But universities do tenure their members precisely because they feel the need to preserve their civilizational role from their social function. In an institution devoted to the pursuit and communication of knowledge, it is necessary to protect the scholar's right to search for the truth and to serve the truth as a responsible critic of both the University and society. It follows then that not only must the scholar be protected through tenure, but the very process of tenuring itself must be protected. Thus the Continuing Members of a university must be those individuals whose superior achievements as teachers and scholars have proven that they are worthy of holding the university in trust for the civilization to which it truly belongs.

To hold the university in trust in an age of overwhelming technological change is no simple matter. In an age when knowledge doubles every decade, knowledge becomes the most dynamic feature of our lives and information changes faster

than our buildings. Thus the scholar now serves his profession in a variety of ways that cannot be simply set down in some monolithic form. Nevertheless, one can recognize that there are three general areas of activity associated with university scholars: teaching, professional achievements, and service to the institution. Inside the university, members of faculty teach, do research, and create the structures that help their colleagues to teach and do research. Outside the university, members of faculty perform their professional duties in an enormously extended range of activities: e.g., government and public service, scholarly publication, lecturing, consulting, communication through the media, and even the creation of new media of communication. All these activities are essential to the university's life in society, but these activities should not be permitted to turn the university into a place where men and women simply develop their professional careers indifferent to the problems and needs of the academic community.

Thus, to evaluate a candidate for tenure and promotion, it is necessary to consider the total contribution the individual has made to the university. Given the range of activities in modern scholarship, it is foolish to establish a single linear scale on which to measure all the members of all the Faculties of the University. Since individuals are individual, no formula for weighting the three areas of achievement could result in a number that would be above or below the automatic tenuring level, and would thus enable the University to transfer the decision from a committee to a computer. It is more reasonable to assume that a candidate for tenure in any Faculty will have demonstrated those superior qualities that have earned him the respect of his colleagues at York and abroad. No committee on tenure and promotions could honestly expect that after three to six years of service all candidates for tenure would have achieved excellence in their careers; however, no committee on tenure and promotions could seriously entertain the notion that a grey competence is sufficient brightness for tenure. Each faculty member will have to be assessed on his own merits but with an eye to the fullness of an individual's presence within the University.

The conferring of tenure is, therefore, one of the most important relationships between the University and the individual faculty member. And although the criteria for tenure are sometimes identical with those for promotion (in that a candidate's performance in teaching, professional contribution, and service to the University will be assessed in each instance), the nature of tenure is distinct from that of promotion. Tenure is primarily concerned with the scholar's right to pursue and communicate knowledge and express opinions in an atmosphere free of reprisal and with the University's right to entrust its institutional life to its best men and women. Thus the decision to grant tenure to a candidate is more critical than the decision to promote; in granting a continuing career appointment to a candidate, the University is entrusting itself to his care in concert with his tenured colleagues; in granting a promotion, however, the University rather recognizes the personal achievement of a meritorious candidate.

These observations are made as an introduction to the description of the criteria that follow for tenure and promotion. They also indicate the spirit in which the criteria should be taken. These guidelines are proposed by the Senate Committee on Tenure and Promotions for its own guidance, and for the information of the University as a whole. They are intentionally flexible, and require application and amplification according to the explicit standards that are expected to be provided by each and every Faculty and Department. In the light of the many and different types of academic progress co-existing in a complex university like York, the Senate Committee's guidelines can reflect only those standards common to the University as a whole; it must rely on the individual Faculties and Departments to supplement these general criteria with specific applications to their particular disciplines. Only in this way may the Senate Committee perform its mandate, to judge a candidate's fitness according to both the University's standards and the criteria applied by his or her own Department. It is implicit, however, that the particular standards of each Faculty will be in accord with the University guidelines.

Although professional "marketability" is sometimes a factor in the final decision on individual recommendations for promotion and tenure, it is not included here within the guidelines to be administered by the Senate Committee on Tenure and Promotions. Offers from other institutions should properly be examined by Chairmen with the Deans and with the President; they should not come, either in written or in oral form, before the Senate Committee. The function of the Committee is to assess recommendations in the light of the guidelines below before the dossiers are forwarded for the final recommendation of the President to the Board of Governors.

A. THE UNIVERSITY CRITERIA FOR TENURE AND PROMOTION

Because promotion and tenure primarily affect junior members of the academic community, the following criteria are described so that they may constitute not only a basis for evaluation after performance, but also a means of encouraging junior faculty before and during performance.

1. Teaching

Members of faculty perform many functions, but all are teachers. At the level of the university, teaching is itself an expression of scholarship. In an age of intense specialization generating an information explosion, the scholar who can take information and synthesize it into coherent structures of knowledge is performing an essential and sophisticated task. To be able to create an intelligible and intelligent university course is a very significant accomplishment. The facile distinction between teachers and researchers comes from another era when a graduate education conferred upon the teacher a long-lasting competence in a single field. Today disciplines interpenetrate to such a degree that the researcher cannot rest tranquilly secure in his area of expertise, and the teacher cannot rest secure that a gentle summer's preparation will be sufficient scholarship for a good introductory course.

To assess the quality of a candidate's teaching, there are certain standards which can and should be applied within the University. The content of the teaching must be evaluated -- whether it is conventional and routine, or whether scholarship is revealed through research, analysis, reflection, synthesis, and the expression of original work. The effectiveness of communication must also be considered, since communication is the essence of good teaching. The performance of the candidate must be assessed in terms of specific situations --

i.e., with undergraduate or with graduate students, in groups and tutorials, in the laboratory or the field, in small or large lectures. A candidate may be more effective in one situation than in others. While no one situation should be given a premium value to the detriment of others, a candidate should be superior in at least one area of teaching.

The judgment of colleagues must be brought to bear on the assessment of teaching performance; reliance on mere hearsay should be avoided. The direct expression of students' evaluation of teachers should be solicited.

Without a concrete, highly specific, and well-supported evaluation of a teachers' performance, the Senate Committee on Tenure and Promotions will return a dossier with a request for more information. The Committee will not rely on rumour, the word of Chairmen alone, or on the mere chance that one or more of the members of the Committee may know the candidate.

2. Professional Contribution and Standing

In most cases distinction within a profession arises from the communication of knowledge or skills through public service, scholarly publication, or the production of works of art. Although publication and performance are not in themselves a guarantee of excellence, one recognizes that these kinds of professional activity are addressed to communities larger than York University, and that, therefore, they must be judged in this larger professional context. In certain cases a distinguished public expression constitutes prima facie evidence that the quality

of the work has been assessed and found to be of a high standard; in other cases it may be necessary to solicit assessments from specialists in the same field.

When the candidate has written or produced a work as part of a team or group in a research project, as often happens in the sciences, the nature of his contribution must be assessed.

Intellectual achievement may also be manifested by studies or activities which have been commissioned by governments or by private institutions. Contributions of this kind are significant, but they can be uneven and should always be evaluated by a recognized authority in the same field.

Generally, the quality of a candidate's scholarship will be evaluated in the light of judgments by reputable scholars; in cases where there may be division within a discipline, the Department should describe the nature of the conflict among schools of thought and present the Committee with a wider range of professional opinion. Where the candidate is relatively young, judgment should point not only to immediate achievement, but to the promise or lack of promise for further development.

The work performed by members of faculty for public and private institutions is indeed an integral part of the relationship between the University and the community. Communication with the general public in a variety of forms and media will be a continuing necessity for the modern university, and outstanding contributions of faculty in this area must be recognized. Service in an advisory capacity to various public agencies, presentation of lectures and talks to other than professional audiences, performances with radio and television networks -- all such activity should be documented as evidence of any special capacity to enhance the intellectual relationship between the University and the community.

These activities must not be separated from the other criteria; they will be weighed in relation to the central core of responsibility which belongs to every member of faculty not only to transmit but to extend the boundaries of perception, understanding, and knowledge.

3. Service to York University

Service to the University will take many forms, with committee and administrative work the most common. Chairmen and Deans will attempt to discriminate among the kinds of administrative work in which a faculty member has participated. Contributions through committees and administrative offices should be assessed as an area for the display of knowledge and good judgment in the creation of new courses, programmes, Faculties, and Colleges.

The work of some committees is routine; obligations to serve on them from time to time are implicit in being a member of faculty and deserve no special weight. Committees relevant to the making of academic policy, or major duties assumed at the request of the University which have led to its improvement, are clearly more important and will be given proper consideration.

In exceptional cases the University must recognize its responsibility for the fact that the growth of a candidate's scholarly and academic development may have lagged because of the large demands which important administrative work have made upon his time. In such circumstances the Senate Committee will require full information from persons familiar with the extent and nature of the candidate's participation in a major service activity.

The Senate Committee requests explication of the standards employed in the evaluation of candidates by individual departments and faculties in accordance with these guidelines. In

all cases recommendations require demonstrated superiority in a minimum of one of the three areas outlined above. The Senate Committee will review the standards set forth by faculties and departments; it will also undertake to ensure that standards are uniformly applied throughout the University.

B. ELIGIBILITY FOR STATUS IN PROFESSORIAL RANKS AND TENURE

Academic ranks exist so that the profession may be internally responsible for administering its own standards of achievement. Although there is no absolute relation between ranks and age or seniority of service within the University, there is an association between ranks and a general pattern of professional development in which age becomes one of the visible features. However, age alone should not be construed to be a criterion for promotion. A university scholar is a professional man devoted to the pursuit of excellence in teaching, research, and service to his university. Promotion, although it may be associated with seniority within the University, must in its essential nature be related to the University's recognition of a scholar's real achievements.

The following outline of promotion through the ranks is a mere average profile; it is put forth to give members of faculty a general notion of what is to be expected; it is not, however, a set of rules. Candidates for tenure and promotion will move at varying rates, each according to his own pattern of professional growth.

Assistant Professor

In some Faculties promotion to this rank is seen as automatic upon the completion of a Ph.D., in other Faculties, this degree is not an appropriate indication of achievement. Clearly, it is possible for a young scholar to demonstrate that he is already a mature professional who has completed his training and has embarked upon his career. The Committee is sensitive to the different indications of this level of achievement prevailing in the different Faculties and will not use a single scale to judge all candidates. Nevertheless, in all the Faculties, of the University, an Assistant Professorship should mean that the years of apprenticeship are over and that the student has now become a scholar.

Associate Professor

An Associate Professor is a matured scholar whose achievements at York and/or elsewhere have earned him the respect of his colleagues as an individual of superior qualities and achievements. A normal expectation of promotion to Associate Professor would be between three to six years of service in the rank of Assistant Professor.

Professor

A Professor is an eminent member of the University whose achievements at York and/or in his profession have marked him or her as one of the scholars from whom the University receives its energy and strength. Clearly this level of achievement cannot be identified with serving several years as an Associate Professor; nevertheless, the rank should not be considered a form of apotheosis. The rank of Professor should be within the expectancy of all Associate Professors.

Sabbatical Leaves and Leaves of Absence

It is customary that the period spent on sabbatical leave will count as service even though the faculty member is not engaged at York in teaching and other normal activities of University life. On the other hand, leaves of absence other than sabbaticals may extend from short to very long periods of time. In every case, provision for credit of such time to the years of service to York University should be arranged in advance by written agreement between the candidate and the Chairman of the Department.

The Relation of Promotion to Tenure

The Preamble has expressed the distinction between the principle of tenure and the principle of promotion. The decision to grant

tenure is one of the most important relationships between the faculty member and the University, since it confers upon the scholar a continuing career appointment. Clearly, the assessment of a candidate will be thorough; it is, therefore, reasonable to assume that a candidate who has been judged worthy of tenure is normally worthy of being promoted to the rank of Associate Professor. Linking tenure to the Associate Professor level, has, as a conceivable disadvantage, the possibility that a candidate could receive his promotion a year or two sooner than comparable candidates at other institutions. But since this early promotion is likely to encourage the candidate, it may in fact have a positive result from the point of view of the candidate and the University. Nevertheless, in some circumstances tenure may be granted but promotion delayed. (See also Addendum, item 1).

C. TENURE

Appointments at the University are of three classes: (1) those that confer tenure, which is awarded only to faculty members of professorial rank, (2) those that confer probationary status, implying that during the stated period the University will give serious consideration to granting tenure, (3) those made in some exceptional cases, where the University may find it necessary to make appointments with a contractually limited term, carrying no implication of renewal or continuation beyond the term and no implication that the appointee is on probation for a permanent appointment. (See also Addendum, item 2).

1. Probationary Period

Most initial appointments at York are probationary. The purpose of the probationary appointment is to provide the University and the candidate an opportunity for mutual appraisal. Probation does not imply that tenure and promotion will be granted, but it does imply that the University gives serious consideration to such an appointment during that period. The termination of a probationary appointment is not the specific concern of the Senate Committee on Tenure and Promotions; the Committee recommends the formation of a separate committee that could address itself to procedures and grievances arising from the termination of appointments not under the jurisdiction of this Committee. Pending the establishment of such procedures, notice from a Faculty that a probationary appointment of three years or less will not be renewed shall be given not later than November 1st of the last year of the probationary period. Notice in a longer probationary appointment shall be given not later than one calendar year before the appointment is to terminate.

Two sequential probationary periods are used at York:

- (a) Precandidacy: All Assistant Professors and Lecturers whose appointment

C. TENURE

Full-time appointments to the faculty of York University fall into the following classes:

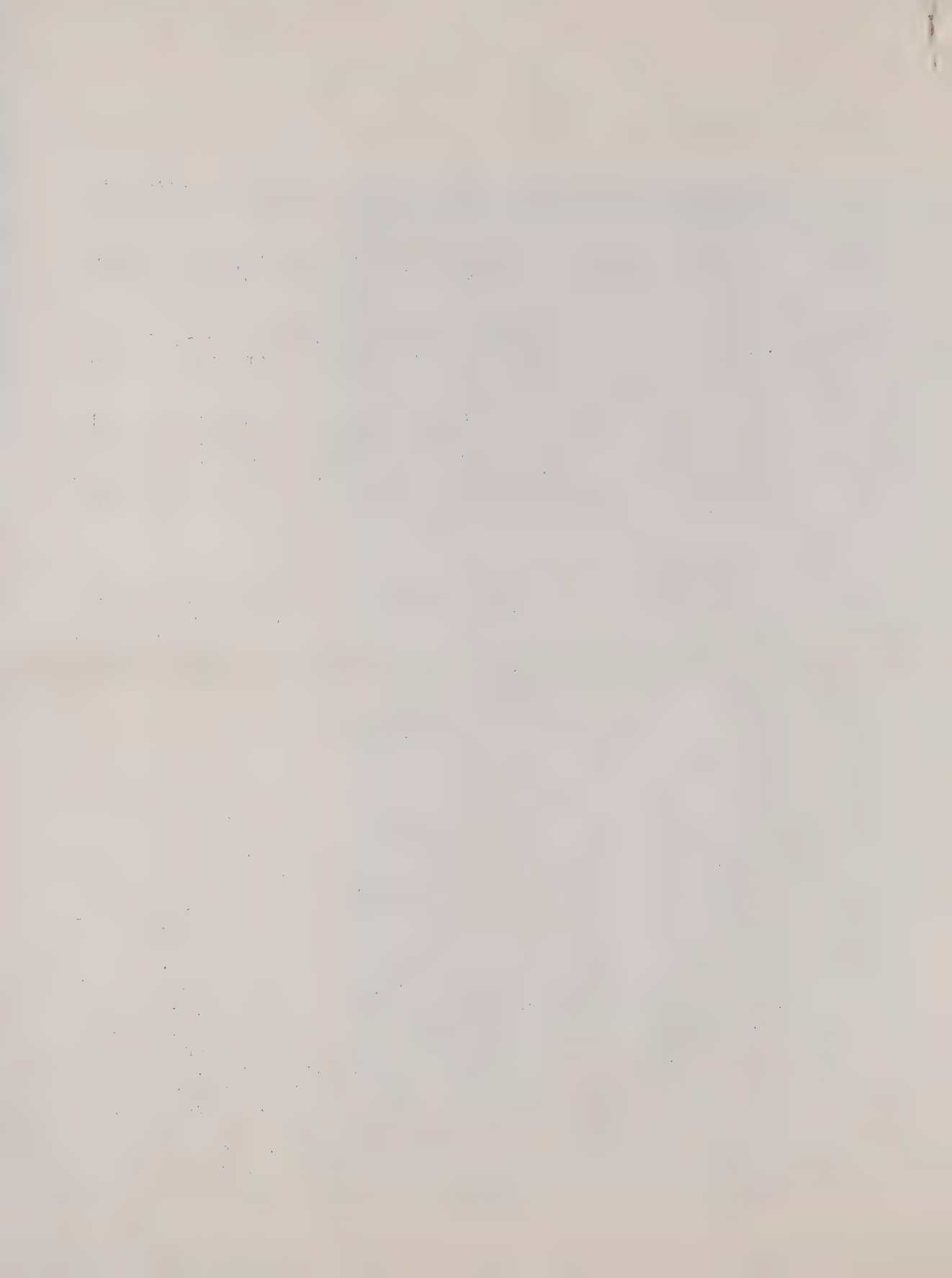
- (i) those that confer probationary status, implying that the University will give serious consideration to the granting of tenure;
- (ii) those which place the faculty member in a "Separate Stream" of faculty, under the terms of Senate legislation approved June 22, 1972;
- (iii) those which confer tenure, which is awarded only to faculty members of professorial rank or at the senior levels of the Separate Stream;
- (iv) those made in exceptional cases, where the University finds it necessary to make appointments with a contractually limited term, carrying no implication of renewal or continuation beyond the stated term, and no implication that the appointee is on probation for a permanent appointment. (see also Addendum, item 2).

1. Probationary Period

Most initial appointments at York are probationary. The purpose of the probationary appointment is to provide the University and the candidate an opportunity for mutual appraisal. Probation does not imply that tenure and promotion will be granted, but it does imply that the University gives serious consideration to such an appointment during that period.

Two sequential probationary periods are used at York:

- (a) Precandidacy: All Assistant Professors and Lecturers become precandidates upon appointment. The period of Precandidacy will not normally exceed three years, during which time the initiating unit will determine whether it wishes the individual's appointment to be continued into Candidacy. Procedures to be followed in making this determination are to be found in the Report of the Senate Committee on Academic Dismissal; "Procedures to Govern the Non-renewal of Untenured Members of Faculty or their Advancement to Candidacy".
- (b) Candidacy: During the period of Candidacy, which extends up to three years beyond Precandidacy, the eligibility of the person for a continuing appointment, i.e., tenure, must be determined by the initiating unit. The initiating unit must prepare a file for all members of faculty not later than their second year of Candidacy and forward that file through the Faculty Committee to the Senate Committee, regardless of the recommendation, which may be positive, negative, or delay. For those candidates for whom a final decision has not been made in the second year of candidacy, a positive or negative recommendation must come forward from the initiating unit before November 1st of the third year of Candidacy. Under no circumstances can a faculty member be required to come up for consider-



ation for tenure (and/or promotion) in the first year of Candidacy if he or she does not wish so to be considered.

- (c) Precandidacy and Candidacy: The two phases, Precandidacy and Candidacy, may not total more than six years. In the exceptional case of Precandidacy lasting four years and the individual then being moved into Candidacy, the period of Candidacy shall be two years, those years being, in the terms of this document, the first year and the final year of Candidacy.

2. Termination of a Probationary Appointment

The termination of a probationary appointment is not the specific concern of the Senate Committee on Tenure and Promotions. Procedures governing the non-renewal or termination of precandidacy appointments may be found in the Report of the Senate Committee on Academic Dismissal. Candidacy is a protected period, during which a faculty member's appointment may be terminated only for cause, by a negative decision on tenure, or (should the Senate pass legislation therefor) for budgetary reasons. In any event, for candidates for tenure, and for faculty who have served as full-time probationary appointees for three years or more, notice that a probationary appointment is not to be renewed shall be given not later than one calendar year before the appointment is to terminate.

3. Initial Appointment as Lecturer

The status of Lecturer varies in the University from department to department and from Faculty to Faculty. It represents an initial appointment and temporary status, subject to the following guidelines:

- (a) Each person appointed to the rank of Lecturer shall be informed in writing at the time of appointment as to what conditions and length of service are expected to be fulfilled for subsequent promotion to the Assistant Professor rank. It is not expected that a faculty member will remain in the Lecturer rank for longer than three years.
- (b) Promotion from Lecturer to Assistant Professor is not a matter for express action by the Tenure and Promotions Committee of Senate. Such promotions shall be made using the standard appointment form.

4. Initial Appointment as Assistant Professor

Persons appointed initially at the rank of Assistant Professor will enter into the Precandidacy period. Progression through Precandidacy and Candidacy will be governed by performance and by the norms governing progress in the particular Department and Faculty, provided that the decision regarding tenure be taken before the end of the sixth year of service. It is possible that the Precandidacy and Candidacy periods may be shortened in the case of persons with service elsewhere.

5. Initial Appointment as Associate Professor or Professor

In the case of candidates whose initial appointment at York was made at the level of Associate Professor or Professor, the phase of Precandidacy would normally be waived, so that the first year of service would initiate the Candidacy phase. Thus, it is the responsibility in such cases for the initiating unit to forward a recommendation for tenure within the first three years of service of the candidate in cases where the unit intends the appointment to continue. Normally, a faculty member appointed at this level should have completed one year of service with the University before being proposed for tenure.

6. Denial of Tenure

Faculty members denied tenure during the Candidacy phase of a probationary appointment may be continued in service at York only on the basis of an annual contract; such service beyond one year would be unusual. Notice that such a contract is not to be renewed shall be given no later than February 1st of the academic year in which the contract terminates.

is expected to lead to promotion become precandidates upon appointment. Within this period of up to three years, the initiating unit will determine whether it wishes the individual's appointment to be continued. Upon a positive consideration, the person is notified by the initiating unit of his entering the next phase, Candidacy.

"(b) Candidacy: Candidacy is a protected period, during which a faculty member's appointment may be terminated only for budgetary reasons, for cause, or by a negative decision on tenure. During this period, which extends up to three years beyond Precandidacy, the eligibility of the person for a continuing appointment, i.e., tenure, must be decided by the initiating unit. The initiating unit must prepare a file for all members of faculty not later than their second year of Candidacy and forward that file through the Faculty Committee to the Senate Committee, regardless of the recommendation, which may be positive, negative, or delay. For those candidates whose files have not been decided in the second year of Candidacy, a positive or negative recommendation must come forward before November 1st of the third year of Candidacy. Under no circumstances can a faculty member be required to come up for consideration for tenure and/or promotion in the first year of Candidacy if he or she does not wish so to be considered."

(Senate, June 22, 1972)

The two phases, Precandidacy and Candidacy, may not total more than six years, with recommendations regarding tenure being brought forward sometime between the commencement of the third and end of the sixth year.

2. Initial Appointment as Lecturer

The status of Lecturer varies in the University from Department to Department and from Faculty to Faculty. It represents an initial appointment and temporary status. In an effort to comprehend the variety of career patterns which begin as Lecturer at York, the following guidelines should be followed:

- (a) Each person appointed to the rank of Lecturer shall be informed in writing at the time of

appointment as to whether such an appointment is or is not expected to lead to a subsequent appointment at the Assistant Professor level, and if so, what conditions and length of service are expected to be fulfilled; if the appointment is not expected to lead eventually to a tenured professorial-type of appointment, other titles must be utilized and the avenues for advancement be clearly stated. It is not expected that a Lecturer will remain at that rank for longer than three years.

- (b) Promotion from Lecturer, or any other rank, to Assistant Professor will be made by the Chairman of the Department and/or Dean of the Faculty using the standard appointment form. Such an appointment is not a matter for express action by this Committee, unless advice is requested by the initiating unit or Dean.

3. Initial Appointment as Assistant Professor

Persons appointed initially at the rank of Assistant Professor will enter into the Precandidacy period. Progression through Precandidacy and Candidacy will be governed by performance and by the norms governing progress in the particular Department and Faculty, provided that the decision regarding tenure be taken before the end of the sixth year of service. It is possible that the Precandidacy and Candidacy periods may be shortened in the case of persons with service elsewhere.

4. Initial Appointment as Associate Professor or Professor

In the case of candidates whose initial appointment at York was made at the level of Associate Professor or Professor, the phase of Precandidacy would normally be waived, so that the first year of service would initiate the Candidacy phase. Thus, it is the responsibility in such cases for the initiating unit to forward a recommendation for tenure within the first three years of service of the candidate in cases where the

unit intends the appointment to continue. Normally, a faculty member appointed at this level should have completed one year of service with the University before being proposed for tenure.

5. Denial of Tenure

A denial of tenure during the Candidacy phase of a probationary appointment constitutes a recommendation to the Faculty (and Department) that the candidate would be well advised to seek a position elsewhere. Such members may be continued in service at York only on the basis of an annual contract, although such service beyond one year would be unusual, unless there is a reclassification in line with the intention expressed in section 2(a) of Part C. Notice that such a contract is not to be renewed shall be given no later than February 1st of the academic year in which the contract terminates.

D. PROCEDURES FOR PROMOTION AND TENURE

1. Procedures for promotion and tenure should be established by each Faculty in accordance with the following principles:

- (a) Normally, proceedings may be initiated by the Dean or the Departmental Chairman. Proceedings may also, however, be initiated by the candidate or by other interested parties within the academic body of the University. A file will be prepared on each candidate, using the standard Application for Promotion or Tenure form. The complete file will proceed from the Departmental or Divisional level to the Faculty level, and via the Dean to the Senate Committee on Tenure and Promotions. The file will then pass to the President for his recommendation to the Board.
- (b) Where there are Departments or Divisions within a Faculty, a committee should be established in each such unit to make recommendations on every candidate for promotion or tenure. In those Faculties where there are no such units, this committee will be a committee of the Faculty. In the first instance, the composition and membership of these primary level committees shall be established by a group comprising, at least, all tenured members of the Faculty or the unit within the Faculty.
- (c) Copies of the letter of recommendation, delay, or rejection, from the Chairman and/or Dean should be available to members of the initiating committee and the candidate.

- (d) If the recommendation on tenure and/or promotion from the Faculty Committee to the Senate Committee is negative, the Dean must notify the candidate in writing and supply a detailed statement of the reasons for this decision. The complete files in such cases shall proceed to the Senate Committee, and the candidate shall have the right to appeal to the Senate Committee.
- (e) If the Senate Committee on Tenure and Promotions rejects a favourable recommendation from a Dean for tenure and/or promotion, it shall notify the Dean in writing, and supply a detailed statement of the reasons for this decision. The Dean shall communicate the statement to the candidate. The candidate shall have the right to appeal in writing to the Senate Committee for reconsideration. Cases under appeal will await the outcome before being forwarded to the President for his action.
- (f) The candidate shall be kept informed in writing about the progress of his case at each point where a decision is made, and shall be given the opportunity at that point to provide additional information or evidence before the file is forwarded to the next committee.

(Senate June 22, 1972)

- 2. In cases of difference of opinion or insufficient information the Senate Committee reserves the right to consult Deans or others as it sees fit.
- 3. The Senate Committee, in its advisory capacity to the President, will recommend all files under the categories: positive, negative, or delay. It will append statements in the event of decisions in the latter two categories, as well as in the first, if it reverses a negative vote from a prior stage in the process. All files and statements will be forwarded to the President, whose own statements to the Dean and the candidate concerned will include a statement making clear the position taken by the Senate Committee.

4. The President should inform the Senate Committee of his disposition of each file sent on to him. In cases of difference of opinion between the Senate Committee and the President, he will provide the Senate Committee with detailed comments regarding his disposition of such cases. The President, of course, has the right to consult as he sees fit on any recommendations forwarded to him, although questions of differing judgments will ordinarily have been resolved in consultation between the Senate Committee and the particular Dean. If the President rejects a positive recommendation from the Senate Committee, he should provide a written statement of his reasons to the candidate.

E. APPOINTMENTS FOR CONTRACTUALLY LIMITED TERMS

1. Contracts for limited terms should be used for special purposes only: viz., the appointment of instructional personnel whose careers will not be appropriate for professorial positions after a period of Lectureship, or other special circumstances. Except for "Visiting" appointments, such appointments are given to persons of professorial rank (Professor, Associate Professor, Assistant Professor) only in cases where application for tenure has been denied. In this case, a yearly contract is normally awarded for a period of one year only.
2. The length of a limited term should be clearly stated in writing.
3. If the contract is renewable, the University should advise the individual whether or not it proposes to renew the contract not later than the first day of February in the academic year in which the contract ends, if the contract is for a year or less; and not later than the first day of November if the contract is for more than a year. In any event, every effort should be made to notify the candidate of a non-renewal early enough that he may investigate other opportunities for appointments.

F. IMPLEMENTATION OF REGULATIONS FOR PRESENT FACULTY MEMBERS

1. In accord with the statements of this Report on the periods of Precandidacy and Candidacy for tenure, it is appropriate that Departments or Faculties initiate action without delay in the cases of all members presently in their third year of Candidacy.

2. "Similarly, if a faculty member is in his sixth year of service at York (regardless of his present status as "Candidate"), it is appropriate that his case be brought forward. While it is desirable that wherever possible the promotion to Associate Professor be linked to tenure, in cases of Assistant Professors at York certain departures from this pattern may be considered within the next two academic years. Although tenure is awarded only to faculty members of Professorial rank, during this time tenure may be granted to persons with six or more years' service if the Department considers that the case for promotion will be forthcoming within a short period (e.g. within two years) of time. For faculty members who joined the faculty prior to July 1, 1969, and who have not yet received tenure, consideration for tenure shall be delayed at their request until as late as the 1975-76 session. In the event of an unfavourable decision regarding tenure an individual may be continued in service at York only on the basis of an annual contract, although such service beyond one year would be considered unusual."

(Senate, June 22, 1972)

3. Initiating units must provide the Senate Committee in the academic years 1971-72 and 1972-73 with a balance-sheet listing of all Candidates for tenure, indicating:
 - Name
 - Years of service at York
 - Length of term as Candidate
 - Rank
 - Previous promotions
 - Any decisions regarding tenure and/or promotion taken by the initiating unit.

G. MEMBERSHIP AND PROCEDURES OF THE SENATE COMMITTEE ON
TENURE AND PROMOTIONS

The standing committee of the Senate on Tenure and Promotions shall act as the President's Advisory Committee on Promotions and Tenure; its deliberations to be in camera, completely confidential, and not open to debate in Senate. The Committee will offer an annual summary of its work to Senate.

The Committee shall consist of seven members, two at least of which shall hold the rank of Full Professor, and five at least of which shall hold a rank above that of Assistant Professor. Service on the Committee will be for three years, with a third of the membership retiring annually. Members will not be eligible for successive re-election to the Committee. Members of the Senate Committee on Tenure and Promotions may not simultaneously be members of Faculty Tenure and Promotions Committees.

H. DISSEMINATION OF REGULATIONS

It is recommended that the above regulations regarding tenure and promotion be sent to each prospective member of faculty along with the letter of offer. All present members of the York faculty should be made aware of the criteria and procedures contained herein without delay.

A P P E N D I XPROCEDURES FOR THE DISMISSAL OF TENURED FACULTY MEMBERS

1. The appointment of a faculty member having tenure should be terminated only upon proof of adequate cause before an arbitration committee which is constituted and conducted in accordance with the following procedure:
2. "Adequate cause" includes, and is limited to, gross misconduct, a high degree of incompetence, or persistent neglect of duty to students or to scholarly pursuits. "Gross misconduct" does not include non-conforming conduct, such as conduct properly characterized as the exercise of freedom of speech, association, or belief, or non-conforming personal behaviour.
3. Physical or emotional inability to carry out reasonable duties ought to be treated separately from dismissal cases. A person so afflicted should be granted leave in some form.
4. When the President of the University and the dean of the Faculty concerned are satisfied that there is adequate cause to justify a recommendation that a faculty member should be dismissed, they should forthwith notify him that they intend so to recommend, and invite the member to meet with them in the presence of his department chairman, if there is one, and a disinterested professor having tenure who is acceptable both to the dean and to the member. In this and all further proceedings, the member should also be permitted to bring and be assisted by, an adviser of his choice. At this meeting, an attempt should be made to resolve the matter amicably. The President may initiate this procedure without the concurrence of the dean, in which case the disinterested professor would be the one acceptable to the President and to the member.

Appendix page 2

5. If this attempt fails, the President shall inform the member in writing of the charges against him in sufficient detail to enable him to prepare his defence.
6. The President and the dean shall again meet with the member and they shall attempt to agree upon an Arbitration Committee of three professors from outside the University.
7. After writing to the member informing him of the charges, the President may, in his discretion, relieve the member of his University duties until the Arbitration Committee has made its decision. Salary and other benefits to the member, including the occupancy of his office and all services connected with his office, shall continue throughout the period of his suspension.
8. In the event that the parties cannot agree upon the membership of the Arbitration Committee, the President and the member shall each nominate one professor from outside the University as a member, and the two persons so nominated shall select a third, also from outside the University, who shall be the chairman of the Committee. The President shall provide each of the nominees with a copy of this procedure upon his nomination.
9. (a) The Arbitration Committee shall notify all persons concerned of the time and place at which they intend to hear the parties.

(b) Both parties shall have the right to appear in person, with or without counsel or other advisers, and to examine and cross-examine or have examined or cross-examined, the other party and witnesses. A complete transcript of the committee's proceedings shall be kept, at the University's expense, and a copy provided

Appendix page 3

to each of the parties concerned. The Arbitration Committee shall record in writing its findings of fact and its finding as to whether there is adequacy of cause, and provide a copy to each of the parties concerned.

- (c) If the Arbitration Committee finds that adequate cause has not been proved, the parties and all persons present at the hearing shall treat everything that was discussed or disclosed at the hearing with the utmost confidence. However, the faculty member who is a party to the proceedings may disclose any information to the faculty association and to the Canadian Association of University Teachers. All persons appearing at the hearing shall be advised of the confidentiality of the proceedings and of the exceptions thereto by the chairman of the Arbitration Committee.

- 10. The findings and opinion of the Arbitration Committee shall be final and binding on the member and the University, subject to any provisions of applicable provincial legislation. If they decide that there is adequate cause, the President may recommend dismissal of the member to the Board of Governors. However, the Arbitration Committee shall have the power to decide that notwithstanding the existence of adequate cause, in which case the appropriate award is dismissal, in the circumstances of a particular case it may order that compensation be paid to the faculty member in an amount not exceeding one year's salary and pension and other contributions. The Committee may make any additional order that it deems just and equitable in the circumstances.
- 11. The University shall pay the expenses of the Chairman of the Arbitration Committee.

A D D E N D U M

Interpretation, from the meeting of Senate held
December 10, 1971

1. The Relation of Promotion to Tenure (p. 11-12)

During the course of Senate's debate on this section, it was stated by the Committee, by the President, and by the Dean of Arts, that the decision on tenure should be considered a much more crucial decision than that on promotion to Associate Professor. In most cases, a decision to grant tenure to an Assistant Professor will connote that the University is also willing to promote the candidate to Associate Professor, even if the promotion taken alone might have been considered somewhat premature. The section is not to be read as implying that an individual should not normally be proposed for tenure until he is considered to be ready for promotion to Associate Professor.

2. Kinds of Appointments (First para., p. 15)

It was stated by the Secretary of the University, and confirmed by the President, that henceforth each academic appointment at York would have to fall under one of the categories: tenured, probationary, or contractually limited; and that each new appointee will be made aware of his category and its implications.

3. Implementation for Present Faculty Members (para., 2 p.21)

It was agreed that this section in no way contradicts the general stricture that tenure is awarded only to persons of professorial rank.

December 14, 1971
W. D. Farr



EDUCATIONAL LEAVE (SABBATICAL LEAVE)

Re-issued by Office of the President, 18 October 1971.

The University believes that regular leave for research purposes (traditionally described as "sabbatical leave") is a prerequisite for the advancement of learning and should be made available to the University's productive scholars and outstanding teachers. Usually educational leave is for full-time research for a period of six months with full salary, or for one year at three-quarter salary. Application for such leave should be made through the relevant chairman and dean to the vice-president, preferably one year prior to the date on which the leave might begin. The application must outline in detail the proposed research project. The University carefully considers such requests in the light of budget limitations and other commitments for teaching and research.

Decisions on such requests are governed by the following considerations: the total number of requests in any one year; the University's capacity to bear the expense involved; the effect of the leave, if granted, on the faculty member's colleagues and the work of his department; and the problem of finding suitable replacements. While recognizing that educational leaves of absence are more important in some fields than others, the University seeks to ensure the equitable distribution of such leaves among

all members of faculty. The anticipated effect of an educational leave on a faculty member's right to future leaves is outlined in writing to the individual applicant by the vice-president before an application for educational leave is processed by the faculty concerned. This is to ensure that the possible implications of the granting of such leave are understood by the individual member of faculty concerned before an application is forwarded to the President.

Compensated leaves-of-absence of six months or more will not be granted to faculty members after the age of 63. Faculty members who have rendered at least ten years of service (including those activities of interest to, and approved by, the University, regardless of the source of financial support) of which four years immediately prior to retirement did not include compensated leaves may, with special permission, serve their final year before retirement on a consultantship basis with agreed upon duties.



CONFERENCE PLANNING LIST

7 November 1973
Issue # 48

<u>Arrival</u>	<u>Date of</u>	<u>Departure</u>	<u>F.R.#</u>	<u>Name of Group</u>	<u>Res.</u>	<u>Total</u>	<u>Campus</u>
18 Sept. '73	18 Dec. '73	'73	919	Underwater Club of Canada	---	---	G
20 Sept. '73	22 Nov. '73	'73	1232	Swimming Teachers Course	---	---	G
24 Sept. '73	3 Dec. '73	'73	1224	Bayview Ladies Fitness Group	---	30	G
24 Sept. '73	10 Dec. '73	'73	1243	Park Lane Athletic Club	---	---	G
25 Sept. '73	13 Dec. '73	'73	1209	North York YMCA	---	--	G
27 Sept. '73	14 Dec. '73	'73	1238	Toronto French School	---	---	G
28 Sept. '73	14 June '74	'74	1255	Toronto French School	---	---	G
29 Sept. '73	14 Dec. '73	'73	1242	North York Aquatic Club	---	30	G
2 Oct. '73	26 Feb. '74	'74	1247	York - U of T Higher Education Seminar	---	---	G
11 Oct. '73	27 June '74	'74	1266	Tsuruaka School of Karate	---	---	G
14 Oct. '73	24 May '74	'74	1233	Douglas Dolphins Scuba Club	---	---	Y
7 Nov. '73	7 Nov. '73	'73	1273	St. Clements Church Ranger Group	---	20	G
9 Nov. '73	10 Nov. '73	'73	1274	McMaster University - Ice Hockey Team	16	16	Y
10 Nov. '73	10 Nov. '73	'73	1272	Ontology Club	---	250	G
14 Nov. '73	14 Nov. '73	'73	1270	Advisory Committee: EDEXS Programme	---	20	Y
15 Nov. '73	18 Nov. '73	'73	1276	Schools Liaison	26	26	Y
17 Nov. '73	17 Nov. '73	'73	1271	Canadian Authors Association	---	100	G
20 Nov. '73	20 Nov. '73	'73	1265	Ontario Universities Council on Admissions	---	---	G
22 Nov. '73	24 Nov. '73	'73	--	Schools Liaison	26	45	Y
23 Nov. '73	23 Nov. '73	'73	1253	Reading '74	---	50	Y
24 Nov. '73	24 Nov. '73	'73	---	Department of Geography - Open House	---	1000	Y
24 Nov. '73	24 Nov. '73	'73	1268	Miles for Millions - Development Educational Programme	---	75	G
24 Nov. '73	24 Nov. '73	'73	1269	RLDS Church Regional Conference	---	200	Y

25 Nov. '73	25 Nov. '73	1208	Cub & Scout Pack	---	---	G
27 Nov. '73	7 March '74		Lawrence Park Athletic Association	---	---	G
30 Nov. '73	30 Nov. '73		Precision Teaching (C.C.E.)	---	40	Y
30 Nov. '73	30 Nov. '73	1230	Lawrence Park Youth Group	---	40	G
30 Nov. '73	2 Dec. '73		North York Aquatic Club	26	26	Y
1 Dec. '73	1 Dec. '73		Precision Teaching (C.C.E.)	---	40	Y
13 Dec. '73	13 Dec. '73	1278	Ontario Institute of Chartered Accountants	---	---	Y
21 Dec. '73	21 Dec. '73	1277	Beaver Foods Christmas Party	---	500	G
22 Dec. '73	22 Dec. '73		Sheppard Wedding	---	100	G
28 Dec. '73	28 Dec. '73	1230	Lawrence Park Youth Group	---	---	G
1974						
1 Jan. '74	2 Jan. '74		New World Educational Cruises	24	24	Y
1 Jan. '74	28 June '74	1242	North York Aquatic Club	---	30	G
8 Jan. '74	25 June '74	1237	Underwater Club of Canada	---	---	G
10 Jan. '74	13 Jan. '74		National Institute on Mental Retardation	26	26	Y
11 Jan. '74	11 Jan. '74		Precision Teaching (C.C.E.)	---	40	Y
11 Jan. '74	13 Jan. '74	TENT.	Gymnastics Training Camp	25	25	Y
12 Jan. '74	12 Jan. '74		Precision Teaching (C.C.E.)	---	40	Y
19 Jan. '74	19 Jan. '74	1268	Miles for Millions - Development Educational Programme	---	75	G
25 Jan. '74	25 Jan. '74		Precision Teaching (C.C.E.)	---	40	Y
7 Feb. '74	10 Feb. '74		Osgoode Seminar	---	---	Y
9 Feb. '74	11 Feb. '74		AIESEC	---	50	Y
17 Feb. '74	22 Feb. '74		Labatts Supervisory Course (C.C.E.)	26	26	Y
20 Feb. '74	23 Feb. '74		Reading '74	---	1000	Y
23 Feb. '74	23 Feb. '74		Miles for Millions - Development Educational Programme	---	75	G
6 Mar. '74	8 Mar. '74		Metrickation (C.C.E.)	26	26	Y
20 Mar. '74	30 Mar. '74		Irish Studies	---	400	Y

6 Apr.	'74	6 Apr.	'74		Miles for Millions	---	75	G
27 Apr.	'74	27 Apr.	'74		Green Wedding	---	100	G
8 May	'74	9 May	'74	TENT.	Scarborough Secondary School	1000	1000	Y
8 May	'74	11 May	'74		Education of Exceptional Students - EDEXS (C.C.E.)	---	---	Y
11 May	'74	11 May	'74		Miles for Millions	---	75	G
12 May	'74	14 May	'74		Girl Guides of Canada	60	60	G
15 May	'74	15 May	'74		Toronto Life Underwriters	---	100	Y
17 May	'74	20 May	'74	TENT.	Encounter 5 (C.C.E.)	500	500	Y
19 May	'74	24 May	'74		Ontario Teachers Conference	75	75	Y
21 May	'74	25 May	'74		Frontier College Annual Meeting	150	150	G
24 May	'74	27 May	'74		Secular Jewish Association	125	125	G
26 May	'74	7 June	'74		Canadian Hospital Association	125	125	G
26 May	'74	31 May	'74		Imperial Order of the Daughters of the Empire	300	500	Y
28 May	'74	31 May	'74		Canadian Meterological Society	150	150	Y
3 June	'74	6 June	'74		St. Patricks Separate School	50	50	G
9 June	'74	16 June	'74		World Crafts Council Assembly and Conference	1000	1000	Y
9 June	'74	16 June	'74		Volleyball Training Camp	25	25	Y
11 June	'74	28 June	'74		Figure Skating Training Camp	50	50	Y
13 June	'74	16 June	'74		Volleyball Seminar	100	100	Y
17 June	'74	21 June	'74		Synchronized Swimming Seminar	40	40	Y
17 June	'74	21 June	'74		Contemporary Dance Seminar	20	20	Y
21 June	'74	22 June	'74		Ontario Home Spinning Seminar	300	300	Y
21 June	'74	24 June	'74		Canadian Authors Association	125	125	G
22 June	'74	22 June	'74		Dunegan Wedding	---	100	G
24 June	'74	28 June	'74		Modern Gymnastic Seminar	30	30	Y
29 June	'74	29 June	'74		Hodges Wedding	---	100	G
1 July	'74	5 July	'74		Advanced Modern Gymnastics	20	20	Y
1 July	'74	19 July	'74		Girls Elite Gymnastic Training Camp	30	30	Y

1 July '74	19 July '74	Table Tennis Camp	20	20	Y
1 July '74	30 July '74	Teachers Assistants Course (C.C.E.)	55	55	G
1 July '74	2 Aug. '74	Elementary School Librarians (C.C.E.)	50	100	Y
2 July '74	9 Aug. '74	Summer Language Bursary (C.C.E.)	300	300	G
7 July '74	2 Aug. '74	Canadian Institute of Financial Planning	100	100	Y
8 July '74	12 July '74	Basketball Seminar	20	20	Y
15 July '74	26 July '74	Badminton Seminar	80	80	Y
15 July '74	9 Aug. '74	Boys Elite Gymnastic Training Camp	30	30	Y
16 July '74	16 July '74	Jewish Camp Council	---	1000	Y
3 Aug. '74	3 Aug. '74	Nance Kivell Wedding	---	100	G
4 Aug. '74	4 Aug. '74	Jewish Camp Council	---	1000	Y
5 Aug. '74	9 Aug. '74	4th Conference of Statistical Processes	---	200	Y
5 Aug. '74	24 Aug. '74	International Hockey Coach Symposium	30	30	Y
8 Aug. '74	10 Aug. '74	Canadian Round Dance Festival	200	200	Y
12 Aug. '74	16 Aug. '74	Canadian Gymnastic Seminar - Week I	120	120	Y
15 Aug. '74	19 Aug. '74	Reformed Church in America	1200	1200	Y
23 Aug. '74	23 Aug. '74	Jewish Camp Council	---	1000	Y
24 Aug. '74	24 Aug. '74	Ruse Wedding	---	100	G
26 Aug. '74	30 Aug. '74	Canadian Gymnastic Seminar - Week II	120	120	Y
31 Aug. '74	31 Aug. '74	Kzimierczak Wedding	---	100	G
1975					
7 May '75	10 May '75	Ontario Conference on Education	600	600	Y
9 May '75	11 May '75	Ontario Genealogical Society	180	225	G
8 June '75	12 June '75	Canadian Association of Physicists	1000	1000	Y
29 June '75	5 July '75	1975 Imperial Council Session AAONMS (Shriners)	1000	1000	Y

APPENDIX A

EQUIVALENT CERTIFICATES

The following certificates are usually accepted as equivalent to Ontario Grade 13. Candidates from other provinces are normally required to offer a programme which constitutes full senior metriculation in their own province, and to satisfy the specific requirements of the programme for which they are applying.

ALBERTA, BRITISH COLUMBIA, MANITOBA, NEW BRUNSWICK,
NOVA SCOTIA, SASKATCHEWAN - Grade 12.

QUEBEC

Collège I du programme général d'un C.E.G.E.P.; first year of the Collegial programme at an English language university or C.E.G.E.P.; candidates who have completed twelve years of elementary and secondary school education, or who have certificates other than those mentioned above, are invited to apply.

PRINCE EDWARD ISLAND

First year of the degree programme at the University of Prince Edward Island.

NEWFOUNDLAND

First year Memorial University.

UNITED STATES OF AMERICA

Any graduate of a secondary school is eligible for selection for admission who, in the opinion of the University, has demonstrated superior achievement and aptitude. Criteria such as

academic standing, rank in class, advanced placement courses, and Scholastic Aptitude Test scores in the examinations administered by the College Entrance Examination Board will be used to determine a candidate's eligibility for selection.

Graduates of secondary schools who have completed a first year programme with a minimum of thirty semester hours of credit and an average grade of at least B at an accredited institution of higher education, and who wish to apply for admission to the Faculty of Arts, should refer to Section II of these regulations (Advanced Standing).

ENGLAND, WEST INDIES, EAST AND WEST AFRICA

- (1) General Certificate of Education showing either
 - (a) passes in five subjects of which at least two must be passed at Advanced level, and three at Ordinary level;
 - (b) passes in four subjects of which at least three must be passed at Advanced level, and one at Ordinary level.
- (2) School and Higher School Certificates are accepted on the following basis: credits on the School Certificates are accepted as Ordinary level passes on the General Certificate of Education; subsidiary passes on the Higher School Certificates are accepted as Ordinary level passes on the General Certificate of Education; and principal or main subject passes on the Higher School Certificate are accepted as Advanced level passes on the General Certificate of Education.

HONG KONG

- (a) General Certificate of Education or School and Higher School Certificate as stated above; or
- (b) University of Hong Kong Matriculation Certificate on the same basis as the General Certificate of Education; or
- (c) Hong Kong English School Certificate from 1965. (Note: this certificate issued in 1964 or earlier is not acceptable.)



OTHER CERTIFICATES

Applicants seeking admission on the basis of certificates not included in the above schedule are required to submit their certificates to the Director of Admissions for evaluation; the subjects studied and the grades secured must also be submitted. When these certificates are in a language other than English or French, official translations must accompany them.

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